

Environmental Justice and Community-Based Transportation Planning Grants

An Evaluation of Past Program Performance and
Recommendations for Future Success

Prepared for
California Department of Transportation
Division of Transportation Planning

August 6, 2015

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Acknowledgements

The report was prepared by Tom Clash, Katrina Connolly, and Matthew Newman for the Caltrans Division of Transportation Planning. Len Finocchio provided expertise in the area of grant making. Tim Gage provided strategic guidance and editorial assistance. A Steering Committee, composed of Department of Transportation Planning and district staff members, provided valuable insights and guidance during the project. The authors would also like to thank the Department of Transportation Planning (DOTP) management, the Office of Sustainable Community Planning, and the Office of Regional Planning for their assistance and support in completing this evaluation. The conclusions of this report are those of the authors.

Executive Summary

For nearly 15 years, Caltrans' Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) grant programs provided funding for local communities & Native American Tribal Governments to develop transportation plans suited to local needs. These programs provided grants to many communities throughout the state, including many communities that might not otherwise have been able to engage in transportation planning at the local level.

At the time of this evaluation project in FY 2014/15, Caltrans was implementing agency-wide reforms stemming in part from a 2014 external review from the State Smart Transportation Initiative (SSTI). These reforms included a new mission and vision for the Department and the creation of the Caltrans Improvement Project, created to help implement performance improvements at Caltrans. In accordance with the agency-wide focus on clear goal setting and performance measurement, the Caltrans Division of Transportation Planning (DOTP) sought to evaluate the performance of the EJ and CBTP grant programs in order to better measure past performance and chart a path forward to future success. This evaluation was intended to more clearly define program goals and develop recommendations for putting in place performance measures, review and evaluate past EJ and CBTP grants to identify the factors associated with successful implementation, and review and analyze other existing grant programs in order to determine whether alternatives to the existing grant programs existed that would represent a better way of accomplishing the program goals.

In FY 2014-15, the EJ and CBTP programs merged with other Caltrans planning grant programs into the new Sustainable Transportation Planning Grant Program (STP). However, many EJ and CBTP grantees have applied for the new grant program, and the findings and recommendations in this report are broadly applicable to the new program.

1.1 Methodology

To conduct this evaluation, the Blue Sky Consulting Group, also known as the Blue Sky team, worked closely with a Steering Committee comprised of Caltrans district and headquarters staff. With input from the Steering Committee, Blue Sky team developed a goal statement and logic model to guide the data collection, analysis, and recommendations of this evaluation. The Blue Sky team collected data about the value of grants to communities, the factors that facilitated or impeded implementation of EJ and CBTP grant-funded planning projects, and the role of Caltrans staff in administering the grant programs through interviews and an online survey. The Blue Sky team conducted a series of confidential structured interviews with grantees, Caltrans district and headquarters staff, staff from Metropolitan Planning Organizations (MPOs), and others.¹ The online

¹ We asked all interviewees a similar set of initial questions but also allowed for follow-up questions which deviated from the prescribed questionnaire. These questions are listed in Appendix 4.

survey canvassed past program grantees who received EJ and CBTP grants from FY 2006/07 to FY 2011/12. The evaluation team also reviewed the relevant research literature on grant-making best practices as well as the administrative requirements for similar grant programs across the state.

1.2 Findings

Based on research, structured interviews, and surveys, the Blue Sky Consulting Group found that, in general, the EJ and CBTP planning grants served a useful purpose within the context of other funding opportunities for transportation planning. Specifically, we found the following:

- The grants added value by helping local communities identify needs and develop specific strategies that incorporated the perspectives of community members and stakeholders.
- The EJ- and CBTP-funded studies enabled public outreach and plan development that most grantees believed would not otherwise have occurred.
- Grantees often used the final product from their EJ and CBTP grants to make a strong case for their community's needs when pursuing local or external funding for implementation or as a long-term comprehensive guide for the community's future development.
- EJ and CBTP grants led to the development of transportation plans that had a high likelihood of implementation as evidenced by the fact that a substantial majority of these plans proceeded to (at least partial) project implementation.²
- Grantees believed that communities highly valued the public engagement process because it provided the opportunity for community members to voice their opinions, developed relationships and partnerships, and often resulted in desired solutions to transportation deficiencies.
- The grants increased capacity for transportation planning among grantees.
- The EJ and CBTP planning grants filled an important gap in dedicated funding for local transportation planning.
- The role of Caltrans grant program staff varied widely across projects and regions of the state, with some staff deeply involved with their projects while other staff were primarily focused on contract administration. This variation is important since our analysis indicated that deeper involvement by Caltrans staff was correlated with an increased likelihood of a successful project outcome. This

² Note that throughout this report we refer to the final products produced with the EJ and CBTP planning grant funds as "plans." In virtually all cases, these documents were in fact transportation plans, however, other types of products such as studies or updates to other plans may have been produced.

successful level of deeper involvement included attending community meetings, offering transportation planning expertise, suggesting professional contacts, and helping to identify funding strategies for implementation.

1.2.1 Factors Contributing to Successful Implementation

Grant funded planning projects addressed various types of problems that caused transportation deficiencies. Examples of these problems included the lack of a cohesive citywide transportation plan, lack of public awareness about alternative modes of transportation, lack of ride-sharing coordination, or a street design that encouraged risky behavior from pedestrians, cyclists, and/or drivers. To assess the success of the wide range of planning projects, the Blue Sky team broadly defined “successful implementation” to include realization of the end result called for by the plan. These end results could take the form of realized capital improvements, operational improvements, or other improvements such as educational campaigns or passage of community-wide planning standards. Using data collected from the structured interviews and online survey, the evaluation team identified the characteristics of individual projects and grantees that were associated with successful implementation:

- Committed staff at the grantee’s agency was very important to successful implementation. Effective staff helped agencies to identify and secure implementation funding, build an effective community engagement effort, secure the support of local elected officials, and coordinate with Caltrans or another local agency, all factors that are likely to lead to successful project implementation.
- Support from the local community enhanced the prospects for success. This support could take many forms, including direct community support, support from local elected officials, or a community engagement process that successfully produced consensus among community groups.
- Effective coordination or partnership with another local agency, availability of local funding sources, and access to professional networks increased the likelihood of success.

Planning projects with these factors produced viable plans – meaning plans that were likely to be implemented. The evaluation team’s recommendations summarized in Section 1.3 and detailed in Section 5 are designed to increase the likelihood of including these factors in future projects. Section 6 presents performance measures which can be used to track the prevalence of these factors which are correlated with success.

1.2.2 Challenges to Successful Implementation

Many transportation projects experience challenges that can delay, or even prevent, implementation of a plan’s recommendations. The primary challenge to successful implementation is securing funding for the project, particularly funding for work such as environmental studies or design that typically takes place following completion of a planning grant. An array of other factors can delay or prevent implementation such

as competing priorities, conflicting interests among stakeholders, and ineffective or problematic coordination with multiple jurisdictions. Grantees viewed assistance offered by Caltrans staff more neutrally, indicating that survey respondents neither agreed nor disagreed, on average, that this type of assistance was important for success. Though many of these challenges impeded implementation after completion of the grant-funded plan, grantees and Caltrans staff can help to promote the factors associated with successful implementation (discussed above) during the grant-funded planning process in order to smooth the path toward implementation. For example, Caltrans staff can support grantees by sharing their knowledge of what has worked well in the past as well as their professional contacts and familiarity with other resources within Caltrans.

1.3 Conclusions

The Blue Sky team's research suggests that the EJ and CBTP grant programs served an important role within the context of funding opportunities for transportation planning in that many planning projects would not have been possible without the assistance of these funding sources. Furthermore, grantees were often successful in seeing their planning projects through to implementation, with more than two-thirds of plans achieving implementation for at least some plan recommendations.

In order to maintain and improve upon this success, we recommend the following (responsible department is indicated in parentheses):

1. More specifically define grant program goals. (Division of Transportation Planning)
2. Establish a performance measurement system for the grant programs. (Office of Regional Planning)
3. Expand and refine the grantee close-out survey in order to collect information about grant program performance. (Office of Regional Planning)
4. Emphasize subject matter guidance in addition to contract compliance among grant program staff. (Office of Regional Planning and district staff)
5. Expand and formalize technical assistance available to applicants and grantees in order to increase the completion of viable plans. (Office of Regional Planning and district staff)
6. Address funding challenges to project implementation through development of a grant guide that identifies potential implementation funding sources and adoption of a broader definition of "planning" that expands the allowed uses of grant funds. (Office of Regional Planning and Division of Transportation Planning)
7. Strengthen the Planning Division's role in program and project funding by developing better coordination with the Active Transportation Program. (Office of Regional Planning, Division of Transportation Planning, Division of Local Assistance)

1.3.1 Next Steps

The recommendations outlined above provide a road map for the future. Implementing these recommendations can help Caltrans to build upon the successes of the EJ and CBTP grant programs while preserving the values embedded in these programs.

2 Introduction

For nearly 15 years, Caltrans' Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) grants have provided funding for local communities and Native American Tribal Governments to develop transportation plans suited to local needs. These programs have provided grants to many communities throughout the state, including many communities that might not otherwise have been able to engage in transportation planning at the local level.

In 2014, the DOTP sought to evaluate the performance of the EJ and CBTP grant programs in order to better measure past performance and chart a path forward to future success.

Specifically, the evaluation sought to focus in three areas:

1. Work with a steering committee to refine and more clearly define program goals and develop recommendations for putting in place performance measures that can help identify whether goals are being accomplished and how to improve performance in the future.
2. Review and evaluate past EJ and CBTP grant program performance in order to identify past grant awards that have resulted in project implementation and the factors associated with successful implementation. This review also permitted the Blue Sky team to address four questions of particular interest to Caltrans:
 - a. How can Caltrans add more value to the grant programs?
 - b. Has Caltrans improved capacity to do EJ and CBTP planning, with Districts and grant recipients?
 - c. Do rural communities feel that the grant programs have adequately addressed their needs?
 - d. What are the issues of concern that Caltrans is not currently addressing that should be addressed through EJ- and CBTP-related programs?
3. Review and analyze other existing grant programs in order to determine whether alternatives to the existing grant programs exist that would represent a better way of accomplishing the program goals or if there are gaps in the existing array of grant programs that could/should be filled by the EJ and CBTP grants.

2.1 Changes to Grant Program Administration

As this evaluation project was commencing in the spring of 2014, a change in the administration of the planning grant programs was simultaneously unfolding within the DOTP. Pursuant to this change, the EJ and CBTP grant programs were merged with other Caltrans planning grant programs to create a new, combined program, the Caltrans Sustainable Transportation Planning Grant Program.

Because the new program was just taking shape as this evaluation was commencing, the Caltrans DOTP determined that the focus of this evaluation would be on the performance of the previous EJ and CBTP grant awards and on recommendations for how to improve the programs going forward. Because the EJ and CBTP grant programs are technically no longer in existence, the recommendations presented in this report are aimed at the EJ and CBTP “components” or “values” of the new Sustainable Transportation Planning Grant Program. That is, many of the same types of applicants and projects that received funding under the EJ and CBTP programs are eligible to receive funding under the Sustainable Transportation Planning Grant program. Therefore, the findings and recommendations in this report are aimed at the aspects of this new program that address EJ and CBTP applicants and projects.

3 Methodology

The approach to evaluating the EJ and CBTP grant programs involved four key elements:

- *Program Context.* First, the team reviewed the context in which these programs operated, exploring the alternative funding sources for planning and assessing the need for planning funds based on stakeholder feedback and research on funding opportunities.
- *Program Goals.* Second, the team worked with a Steering Committee consisting of Caltrans district and headquarters staff to articulate a goal statement for the EJ and CBTP grants.³ This goal statement was fundamental to both the evaluation of past program performance (by providing a standard by which past success could be gaged) as well as setting future direction for the potential inclusion of EJ and CBTP values in the new Sustainable Transportation Planning Grant Program.
- *Program Performance.* Third, with a goal statement drafted, the team explored whether and to what extent the programs had accomplished their goals. This exploration of past performance was based on data collected through a series of structured interviews with grantees, Caltrans staff and others as well as a survey of former grantees.
- *Program Success.* Finally, we analyzed the data collected through these structured interviews and the survey in order to identify the extent to which projects had been successful and the factors associated with success. We used the results of this analysis to draft recommendations and develop suggested performance measures to guide the efforts of program managers going forward.

³ Members of the Steering Committee are listed in Appendix 1: Steering Committee Members

3.1 Program Context

The EJ and CBTP grant programs operated within the context of other divisions and grant programs at Caltrans, other grant programs outside of Caltrans, transportation planning efforts engaged in by MPOs, and state planning efforts and standards developed under the leadership of Caltrans. In order to evaluate the context in which the EJ and CBTP programs operated, the project team collected data on alternative funding sources and mechanisms used for transportation planning processes. This data collection was accomplished via a series of structured interviews with grantees, MPOs, Native American Tribal Governments, Caltrans district and headquarters staff, and others. The team also collected data on alternative funding sources via a survey of past EJ and CBTP grantees and reviewed the relevant literature on grant-making best practices as well as the administrative requirements for similar grant programs across the state.

3.1.1 Review of Previous Program Evaluation

In the course of conducting the evaluation of the EJ and CBTP grant programs, the project team reviewed a previous evaluation of these programs conducted by ICF International (ICF) in 2009⁴. The ICF report primarily focused on administration of the grant programs, as opposed to the strategic program management issues which comprised the core of the Blue Sky Consulting Group 2015 effort. Nevertheless, the 2009 ICF report provided useful context for understanding the history and performance of EJ and CBTP grant programs.⁵

3.2 Program Goals

Establishing clear program goals is a fundamental step toward developing and implementing a successful evaluation and establishing recommendations for improving program performance in the future. Only by articulating a clear goal (or set of goals) for a program can success be measured and past program performance assessed. Additionally, Caltrans has been engaged over the past several years in a process of updating and reevaluating its overall goals for the Department, and the effort to establish goals for the EJ and CBTP programs therefore needed to operate within the context of the new overall goals developed for the organization as a whole.

⁴ ICF International, 2009. Transportation Planning Grants and Special Studies Assessment and Recommendations.

⁵ See

Appendix 2: Report on ICF 2009 Study for a summary of the report.

3.2.1 Project Steering Committee

The efforts of the evaluation project team were guided by a project Steering Committee consisting of Caltrans headquarters and district staff.⁶ The Steering Committee worked with the project team and the Contract Manager for the EJ and CBTP Grant Evaluation Report meeting regularly throughout the course of the evaluation. The Steering Committee provided insights and suggestions for how to approach the evaluation, identify grantees and stakeholders, and collect data for use in conducting the evaluation. The Steering Committee also worked with the Blue Sky team to draft a goal statement for the grant programs, provide input on a logic model which derived from the goal statement, and develop recommendations and performance measures designed to enhance the prospects for accomplishing the program goals.

3.2.2 EJ and CBTP Grants Logic Model

With assistance from the Steering Committee, the Blue Sky team developed a “logic model” to serve as tool for building a conceptual framework for evaluating the EJ and CBTP grant programs. This logic model can serve, not only as a tool for evaluating the programs, but also as a tool for managing the grant programs going forward.

The model provides a visual representation of how the programs operate, what factors guide the goal setting and strategic direction of the programs, what resources and activities can be employed to achieve these goals, and how to measure and evaluate the outcomes of these efforts. Specifically, the logic model provides the following framework for the evaluation:

- Articulation of a clear and concise goal statement for the EJ and CBTP components of the new Sustainability Transportation Planning Grant Program. The goal statement then drives the development of the remaining elements of the logic model, most importantly including the development of long-term outcomes and performance measures.
- Identification of the critical activities associated with these grants. The activities identified in the logic model are the instruments by which the program goals can be accomplished.
- Identification of essential short- and long-term outputs expected from these activities. The outputs are the direct result of the activities identified and lead to long-term outcomes.
- Identification of transportation-related outcomes from key activities and outputs. These outcomes are the embodiment of the specific changes that program managers hope for and expect when they develop and implement a program.

⁶ Members of the steering committee are listed in Appendix 1: Steering Committee Members

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- Identification of essential performance measurements to help determine the relative success of outcomes in supporting the goal statement. These performance measures are the primary tool for evaluating program success and identifying areas for improvement.
 - Identification of long-term impacts. The activities, outputs, and outcomes result in system-level changes in the community. The impacts are tied to the goal statement for the program.

Development of a logic model can help to clarify any program assumptions and expectations regarding the desired impacts of the grants in achieving Caltrans' overall strategic goals. Specifically, the development of a logic model can help strategic planning efforts by describing the programs in language clear and specific enough to be understood and evaluated. A logic model can further help strategic planning by focusing attention and resources on priority program operations and key results for the purposes of learning and program improvement. For an additional discussion of the logic model see Section 4.1, Program Goals and Logic Model.

3.3 Program Performance

The primary tools used by the Blue Sky team to evaluate program performance were (1) a series of structured interviews with grantees and grant sub-recipients, district staff, and MPOs, and (2) a survey of grantees. These interviews were conducted using an interview questionnaire developed in conjunction with the Caltrans grant evaluation district project managers, tailored to the specific circumstances of each interviewee. Interviews were conducted both in person and via telephone, and took place with grantees and others located throughout the state.

3.3.1 Structured Interviews

The Blue Sky team conducted structured interviews in order to gain an in-depth understanding of the operation of the grant programs, grantees' experiences with the programs, and the context in which these programs operate. We structured the interviews with planned questions regarding the role of the grant in the grantee's funding repertoire, the challenges to application and planning processes, the role of Caltrans staff, the challenges to implementation, and the factors associated with success. We asked additional follow-up questions particular to each interviewee as relevant to allow us to better understand the grantee's particular situation.⁷

⁷ Semi-structured interviews allow follow-up questions whereas structured interviews do not allow any deviation from the prescribed questions. The Blue Sky team asked each interviewee the same set of questions listed in Appendix 4 as well as varying follow-up questions based on interviewees' responses and differing circumstances.

The Blue Sky team selected grantees that received grants during FY 2006/07 through FY 2011/12 with the intention to interview EJ and CBTP recipients from most of the Caltrans districts throughout the state, ensuring that we included both rural and urban grantees. We conducted a total of 30 interviews. The number of interviews is summarized by type of interviewee in Table 1. Some interviews contained multiple people and covered multiple projects (in cases where grantees had received more than one award). During the 17 grantee interviews, we discussed 26 individual projects. We interviewed at least one grantee from the following districts: D1, D2, D3, D4, D6, D7, D10, and D11.

Table 1: Count of Interviews by Type of Interviewee

Type of Interviewee	Number of Interviewees	Location of Interview
Grant Recipients (excluding MPO's and tribes)	14	12 by phone, 2 in person
Tribe Grant Recipients	3	3 by phone
Sub-Recipients	2	2 by phone
Caltrans District Staff	2	1 by phone, 1 in person
Caltrans Headquarters Staff	2	2 by phone
State Funding Sources	3	2 by phone, 1 in person
Metropolitan Planning Organizations (MPOs)	3	2 by phone, 1 in person
Non-profit Community Planning Consultant	1	1 by phone
Total	30	25 by phone, 5 in person

These interviews provided a deeper understanding of planning projects and their contexts. In order to determine more precisely how prevalent themes were among grantees, the Blue Sky team conducted an online survey.

3.3.2 Grantee survey

In order to gain a broader perspective to complement our structured interviews, we conducted an online survey of grantees who received an award during our study period, FY 2006/07 to FY 2011/12, and for whom Caltrans was able to provide an email address. Caltrans did not have an email address for 40 of the 233 projects awarded between FY 2006/07 and FY 2011/12. In total, we sent 193 surveys by email and received 82 responses (a response rate of 42 percent).⁸ A copy of the survey instrument is presented in Appendix 3: Survey Instrument.

⁸ While there is no universally accepted standard or minimum response rate which ensures a valid and reliable result, the Blue Sky team believes that a response rate of 42 percent offers a sufficient basis from which to draw conclusions.

3.4 Program Success

In helping to promote continued program success, the Blue Sky team worked with the Steering Committee and DOTP Management to develop a series of recommendations and suggest research-based performance measures by which to gauge program performance in the future. Recommendations and performance measures are presented in Sections 5 and 6.

4 Findings and Results

This section presents the final logic model developed by the Blue Sky team with input from the Steering Committee, as well as the findings from our evaluation of the EJ and CBTP planning grant programs.

4.1 Program Goals and Logic Model

Articulating a clear statement of program goals is a fundamental element, not only for a successful evaluation, but also for a successful grant program. A successful grant program is one that achieves the program goals as measured by the performance measures. The Steering Committee strongly believed that the goal of the grant programs was not simply the production of transportation plans that fulfilled the terms of the contract with Caltrans, but instead the development of viable plans that had a high likelihood of being implemented by the grantee. This focus on implementation guided the drafting of the goal statement as well as the development of program outcomes and suggested performance measures (discussed later in this report).

The purposes of the EJ and CBTP grant programs had previously been articulated via program materials developed by HQ program managers in consultation with district contract managers, including a guide for applicants and the instructions and materials provided to grantees. Nevertheless, a clear and specific goal statement of what the programs were intended to accomplish had not previously been developed. As part of this evaluation project, the following program goal statement was developed by the Blue Sky team, the Steering Committee and the EJ and CBTP HQ project managers and DOTP management:

To enable communities, including environmental justice and disadvantaged communities, which lack access to other planning funds to address locally determined high priority mobility deficiencies. These grants should promote widespread public participation and build stakeholder partnerships in the process of developing and implementing viable transportation plans that advance the state's departmental and planning priorities.

This goal statement supports the desired system-level impacts in California communities as indicated in 2015 Caltrans Strategic Management Plan goals of mobility improvement, transportation safety, economy, equity, and sustainable communities.

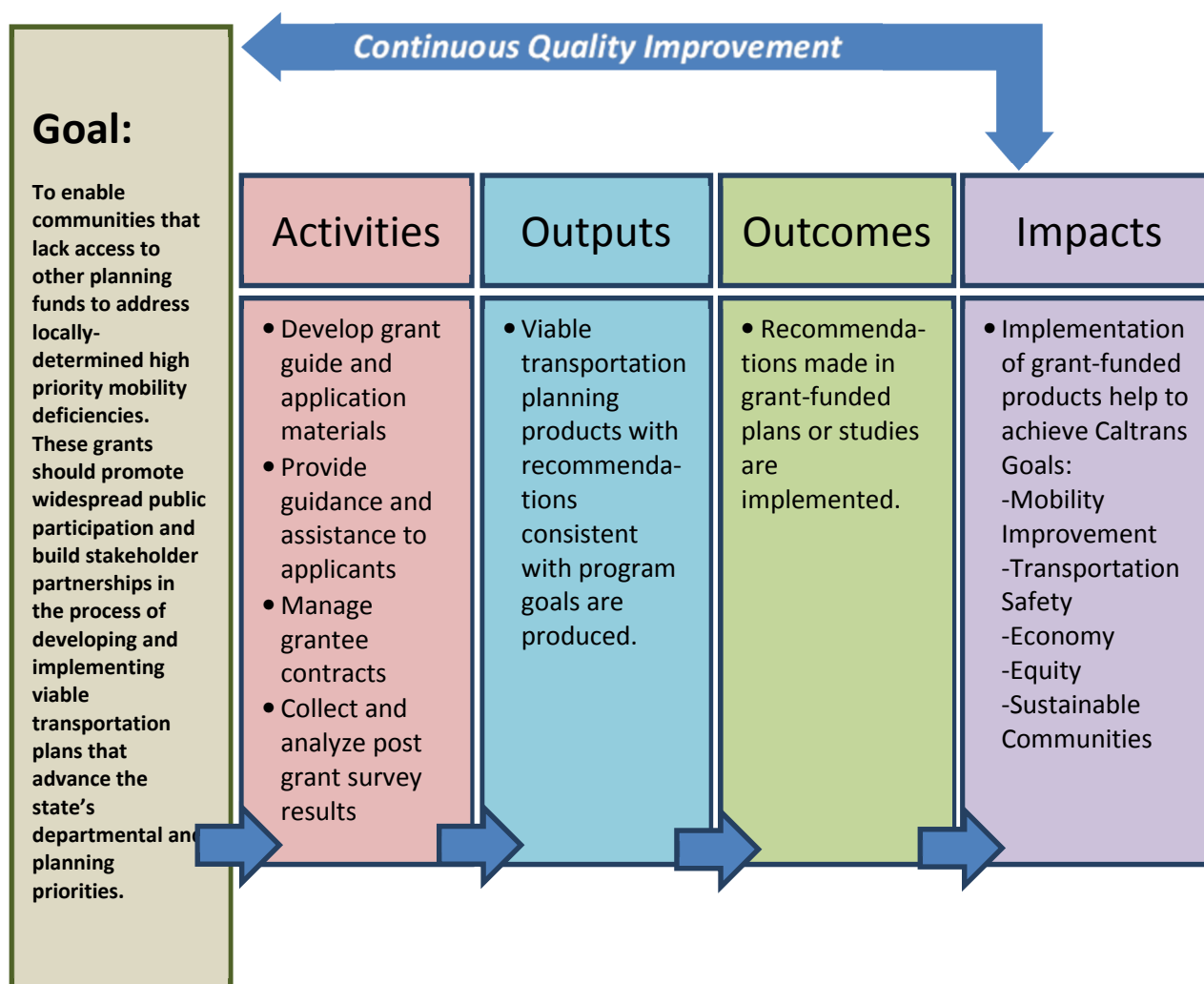
Because the EJ and CBTP grant programs have been folded into the STP program, this goal statement is intended to cover the EJ and CBTP components of the new grant program. To the extent that a goal statement

for the broader program is developed, this goal statement can be integrated into or harmonized with that broader goal statement. During the course of its discussion of the goal statement, the Steering Committee indicated a strong desire to see the values of the former EJ and CBTP grant programs integrated into the STP program within the Regional Planning Office. In order to preserve these values in the STP program, the Regional Planning Office could incorporate or integrate the EJ and CBTP goal statement into a broader goal statement for STP.

4.2 Program Logic Model

A logic model provides a visual representation of how a program operates, what factors guide the goal setting and strategic direction of the program, what resources and activities can be employed to achieve these goals, and how to measure and evaluate the outcomes of these efforts. Using the logic model framework helps to ensure that the program's activities, outputs, outcomes, and impacts support the goal statement. It also helps with the development of performance measures that appropriately address the connection between goals and the identified activities, outputs, outcomes, and impacts.

Figure 1: EJ and CBTP Grant Programs Logic Model



The logic model in Figure 1 is divided into five sections. The first section presents the goal statement for the program. The second section “Activities” identifies the specific actions which program managers, staff or participants can take. These activities include managing the grant programs, developing the grant guide and application materials, providing technical assistance to applicants, preparing and submitting applications, evaluating applications, awarding grants, and evaluating post-grant completion surveys, among other activities. The next section “Outputs” presents the specific items or actions that result directly from the activities. These outputs are concrete and measureable results of the activities, but are not the same as outcomes or impacts of the program in that they are not ends in and of themselves, although they are logically tied to these longer term goals and are the mechanism by which these goals can be achieved. In the case of the grant programs, the primary outputs are the transportation plans produced with the grant funds. The fourth section “Outcomes” refers to the medium term results of the grant program and the plans or studies produced with the grant funds. For example, implementation of recommendations in a transportation plan

would constitute a successful outcome. Finally, the last section “Impacts” refers to the long term results or changes that the program is designed to achieve. These impacts are more than just the implementation of a transportation plan, but additionally refer to the effects on the larger community which the transportation plans are designed to achieve, such as increased mobility or improved safety.

As Figure 1 shows, EJ and CBTP grants can achieve the desired outcomes and long term impacts through two primary mechanisms. First, program staff have direct control over the application and selection process, including the definition of the program goals, technical assistance provided to potential applicants, the application materials distributed to potential applicants, and the selection of applicants to receive grants. By effectively conducting these activities, program staff can help to achieve the program outcomes. For example, by making the program goals clear to applicants, both the type of applicants that ultimately apply and the applications received are more likely to be tied to the program goals. Second, in addition to the application and selection-phase interactions with applicants, the activities associated with the administration of the grant contracts also offer an opportunity to assist and influence grantees in order to help achieve the program goals and bring about the desired outcomes. Additional details about how to tailor and improve the program activities is provided in Section 5.

Subsequent to the activities of program managers and staff, the program outputs are identified in the logic model. These outputs represent specific elements that support the goals of the program and can be tracked and measured. These outputs are correlated with or can lead to the outcomes that are tied to the goal statement. For example, both the awarding of grants and the completion of viable transportation plans represent specific, measureable outputs that derive directly from the program activities. In turn, the awarding of grants and the development of plans are correlated with an increased likelihood of achieving the program’s long-term outcomes, such as greater community involvement in the planning process or increasing sustainability, livability, and system performance for communities that received grants. Ultimately, the logic model provides a mechanism by which to identify program activities that can lead to better long-term program outcomes.

4.3 Overview of EJ and CBTP Planning Grant Programs Past Performance

Following the drafting of a program goal statement and the development of a logic model, the Blue Sky team proceeded to collect data about past program performance.⁹ Based on our research, structured interviews, and surveys, the Blue Sky team found that, in general, the EJ and CBTP planning grants served a useful purpose within the funding landscape for transportation planning (i.e., the array of funding opportunities for transportation planning) and were well used by grant recipients. The grants added value by helping local

⁹After discussing the initial draft goal statement in the first steering committee meeting, the Blue Sky team revisited the program goal draft statement with the steering committee in later meetings as well.

communities identify needs and develop specific strategies that incorporated the perspectives of community members and other stakeholders, in many cases deeply involving community members in the planning process. Our research found that the EJ- and CBTP-funded studies enabled public outreach and plan development that most grantees believed would not otherwise have occurred. Grantees often used the final product from their EJ and CBTP grants to make a strong case for their community's needs when pursuing local or external funding for implementation or as a long-term comprehensive guide for the community's future development. The Blue Sky team found that EJ and CBTP grants frequently led to the development of viable transportation plans, a substantial majority of which proceeded to (at least partial) project implementation.

4.4 Planning Grants Filled a Gap in Funding

For nearly 15 years, the EJ and CBTP planning grants have filled an important gap in dedicated funding for local transportation planning. Our review of other grant programs potentially available to grantees revealed few alternative resources. This assessment was supported by evidence from our grantee research, which revealed that only 14 percent of survey respondents knew of other potential funding sources for local transportation planning. Similarly, most interviewees said that they would not have been able to complete their planning study without the Caltrans grant.

4.4.1 Current Funding Landscape for Planning

Based on our review of federal, state, regional, and local funding opportunities for transportation planning, we found that the EJ and CBTP grants provided an important, dedicated external funding source, especially for local public entities that lacked access to planning funds distributed by federal or state entities according to formulas. The few alternative funding opportunities for planning that existed at the time of this evaluation were not dedicated to planning (and therefore potentially less reliable), were for larger projects, or provided funds for a limited purpose or geographic area (i.e., are available just in one region of the state such as the One Bay Area Program). (See Appendix 7 for a table of federal, state, and regional funding opportunities for the various stages of transportation projects from planning to implementation.)

At the state level, aside from the Sustainable Transportation Planning Grant program, the Active Transportation Program (ATP) provides the only current source of planning funding at the state level. In 2013, the Caltrans Division of Local Assistance and the California Transportation Commission (CTC) consolidated several existing sources of state and federal funding programs into the ATP, and in doing so created an opportunity for planning funds that did not previously exist. This competitive statewide grant program encourages active modes of transportation by funding all stages of transportation projects from planning through implementation (see Appendix 7 for more detail). However, ATP does not provide a dedicated source of planning funds. Instead, ATP can choose to direct a small portion of the overall budget (up to 5 percent) to transportation planning, but there is no specific set-aside for planning. Furthermore, planning applicants may face more difficult odds when pursuing planning funds from ATP compared with the EJ and CBTP programs. In the first round of ATP funding,

the program funded 13 projects at a level that the EJ and CBTP programs historically would have used to fund 30-40 projects per year.

Future evaluations should more thoroughly investigate the extent to which ATP is a viable alternative source for planning funds. At the time of this evaluation, ATP was too new to assess whether grantees perceived ATP as a substitute for projects previously funded by CBTP and EJ. The EJ and CBTP grantees interviewed and surveyed for this evaluation did not consider ATP as an alternative because they received grants from FY 2006/07 to FY 2011/12 and the first cycle of ATP occurred in 2014.

Some planning funds accessible to EJ and CBTP-type recipients do exist at the regional level, although these funding sources are limited. MPOs receive federal funding (Federal Highway Administration Metropolitan Planning funds known as FHWA PL and Federal Transit Administration, Section 5303, Metropolitan Planning Funds) to support planning activities and MPOs can choose to sub-allocate these funds to local member agencies for planning. Our survey results and interviews with MPOs and a Caltrans staff member from the Office of Federal Transportation Management Program suggested, however, that relatively few regional entities choose to fund local planning projects.¹⁰ For example, we interviewed representatives from two MPOs that devoted some funds to planning projects, the Metropolitan Transportation Commission (MTC) and the San Diego Association of Governments (SANDAG). MTC launched a competitive grant program in 2014 using \$6.8 million in federal funds to support planning, technical assistance, and staffing assistance for transit agencies with projects in designated Priority Development Areas as part of the One Bay Area Grant Program. Nearly \$5.3 million of these funds financed nine planning projects. The One Bay Area Grant Program allocated another \$20 million for planning in Priority Development Areas, administered by county congestion management agencies.^{11, 12} SANDAG launched a program in 2013 that provided grants to seven planning and pre-development projects that ranged from \$100,000 to \$400,000 for the second cycle of the Smart Growth Incentive Program.¹³

In addition, some entities have access to local funds that may be used for transportation planning, although it is often the case that funds spent on planning directly offset funds available for project implementation. For example, one city could have used revenue from sales taxes to fund planning, but at the cost of transit operations. In addition, some tribes mentioned in our interviews that the Bureau of Indian Affairs could

¹⁰ Phone interview with Muhaned Aljabiry, Chief, Office of Federal Transportation Management Program, California Department of Transportation on December 19, 2014.

¹¹ One survey respondent listed this source of funding as an alternative to Caltrans planning funds.

[http://www.abag.ca.gov/abag/events/agendas/o050914a-](http://www.abag.ca.gov/abag/events/agendas/o050914a-Item%2005,%20Recommended%20PDA%20Planning%20Grants%20and%20Regional%20Implementation%20Priorities.pdf)

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¹² From 2002 through 2014, MTC offered community-based transportation competitive grants up to \$60,000.

¹³ SANDAG website, accessed March 18, 2015 <http://www.sandag.org/index.asp?projectid=340&fuseaction=projects.detail>

technically fund planning projects, but in practice, tribes devoted these resources to implementation rather than planning.

Overall, the Blue Sky team’s research into the various funding sources available to replace or complement EJ and CBTP-type planning grants suggested that the options are very limited. For the most part, interviewees and survey respondents reported that their planning studies would not have been conducted without the Caltrans planning grant they received.

4.5 Capital and Operational Improvements Often Achieved

Based on analysis of the survey results and structured interviews, the Blue Sky team found that most grantees implemented at least some of the recommendations in their EJ and CBTP final product. Most projects we reviewed involved capital improvements, but some focused on operational improvements or sought to develop community-wide planning standards or educational campaigns. Recommendations for capital improvements involved construction whereas operational improvement recommendations generally involved improvements to establishment of new services. Recommendations that did not fit in either category were grouped together as “Other.”

The Blue Sky Consulting Group 2014 survey of EJ and CBTP grantees who received an award during the period FY 2006/07 and FY 2011/12 revealed that 72 percent of the grant-funded plans have progressed to at least partial implementation (i.e., implementation of at least some recommendations made in their plans). Of the eight survey respondents that indicated they were making progress towards implementation, six respondents explained that they had begun or secured funding to do design and environmental review for their projects. Two of these eight respondents described their progress as integrating the grant funded plan into broader community planning efforts. Given that some respondents had just completed their plans at the time of this evaluation, the percent of projects from this cohort that progress towards implementation likely will increase over time. Table 2 presents the survey results on implementation.

Table 2: Implementation Success for EJ and CBTP Projects Awarded FY 2006/17-FY 2011/12

	Has Implemented At Least Some Recommendations	Making Progress Towards Implementation	No Recommendations Implemented	Total Number of Projects
Number of Projects	58	8	15	81
Percent of Projects	72%	10%	18%	100%

According to our survey results displayed in Table 3, 70 percent of the grant-funded plans primarily addressed capital improvements (many of these projects included other types of recommendations as well). Respondents

characterized a minority of projects as primarily focused on operational improvements (16 percent) or “other” types of projects (14 percent).¹⁴

Table 3: EJ and CBTP Projects Awarded FY 2006/07-FY 2011/12 by Project Type

	Capital	Operational	Other	Total
Total Projects (number)	57	13	11	81
Total Projects (percent)	70%	16%	14%	100%

As shown in Table 4, rates of successful implementation were highest for projects that primarily addressed “Other” types of improvements and lowest for projects that primarily address capital improvements. At least some recommendations have been implemented in 82 percent of “Other” projects and 77 percent of “Operational” projects. For “Capital” projects, at least some recommendations have been implemented in 68 percent of the projects.

Table 4: Implementation Success for EJ and CBTP Projects Awarded FY 2006/07-FY 2011/12 by Project

	Capital	Operational	Other	Total
Total Projects (number)	57	13	11	81
Has Implemented At Least Some Recommendations (number)	39	10	9	58
Has Implemented At Least Some Recommendations (percent)	68%	77%	82%	72%

During the review of project summary documents, we found the following examples of types of final grant-funded products. Common capital improvement plans included corridor revitalization and complete streets. Common operational improvements included coordinated traffic signals, re-routing buses to meet riders’ needs, or organizing vanpools. Projects that recommended improvements other than capital or operational incorporated planning standards into the jurisdiction’s General Plan, developed educational campaigns, or developed a data collection system, among other efforts. Some projects sought long-term changes in master

¹⁴ Initially, 36 respondents categorized their projects as “Other.” After reviewing the respondents’ project descriptions required by the survey for those who selected “Other,” the Blue Sky Team re-categorized 25 of these projects as primarily addressing capital improvements and 4 projects as “Operational.” The Blue Sky Team relied on a definition developed from a review of project summary documents of grants awarded between FY 2006/07 through FY 2011/12: capital improvement projects involved construction; operational projects involved coordination of transportation elements; and “other” projects included those that did not fall into either category.

plans for the city or county that addressed multiple land use and transportation elements. Grantees used these planning funds for a wide variety of purposes, including improving mobility, enhancing safety, encouraging multimodal transportation, and revitalizing economically depressed areas.¹⁵

One possible explanation for the variation in implementation success is that capital improvement projects are more likely to require significant funding relative to other types of projects, with scarce funding limiting the ability of grantees to implement these types of recommendations. Given that the counts of projects are low in the categories “operational” and “other,” these findings may not be representative for these categories.

4.6 Value of Planning Grants Beyond Implementation

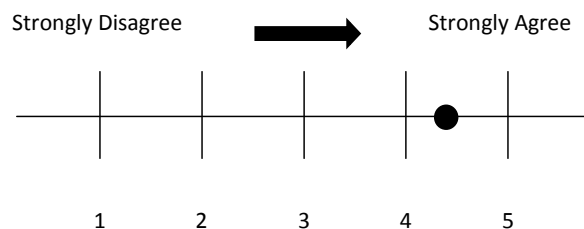
In addition to capital and operational improvements, our research as well as comments from the Steering Committee members and Caltrans district contract managers suggested that the EJ and CBTP planning grants added value to communities in several other ways as well. Many grantees indicated that their communities highly valued the public engagement process in which they engaged because the process provided the opportunity for community members to voice their opinions. The process also developed relationships and partnerships that strengthened the planning efforts, which could facilitate implementation. The Blue Sky team found that the EJ and CBTP planning grants often reached communities that did not frequently receive planning grants, and therefore added value by increasing capacity for transportation planning for most grant recipients. Many grantees articulated the ways in which the planning grants added value to their communities.

4.6.1 Public Engagement

Grantees indicated, both in structured interviews and the online survey that the grant awards helped to engage the public in transportation planning. Figure 2 presents the survey results demonstrating that grantees overwhelmingly believed that the grants helped engage the public in the planning process. EJ and CBTP grantees used an array of outreach techniques to attract participants, such as multi-media and multi-lingual advertisement. They also pursued a variety of approaches to engage participants, such as walking tours, workshops, and cultural activities. (See Appendix 6: Review of Existing Grant Programs for a detailed review of the types of outreach techniques grantees employed to engage community participants.)

¹⁵ See Appendix 6: Review of Existing Grant Programs for a detailed review of the types of plans developed with these grants.

Figure 2: Average Response to Survey Prompt: “The Grant Award Helped to Engage the Public in Transportation Planning.”

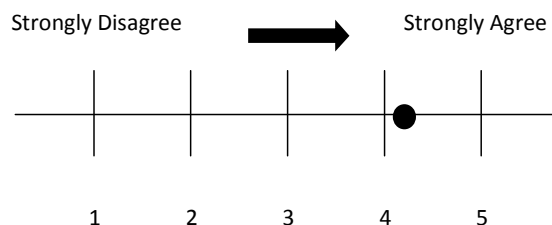


Engaging communities and stakeholders in the planning process, while valuable in itself, also served to expedite project implementation by spreading awareness of, and galvanizing support for, the project, according to grantees. Multiple grantees described how the planning process and resulting document raised the profile of project ideas and enhanced the legitimacy of the community need in the eyes of local decision-makers as well as potential local partners with resources (e.g. financial or data resources). In addition, grantees valued the connections, relationships, and partnerships that developed among agencies such as community-based organizations (CBOs), city governments, county governments, and MPOs. For example, one interviewee described the EJ and CBTP grant-funded planning process as one that built trust between the regional entity and CBOs, which enabled the MPO to engage better with the communities after project completion. Other relationship development described by interviewees resulted in joint applications for implementation funding among multiple CBOs or in partnership with public health agencies. One respondent commented: “Incredible, really helped bring the community together.” These relationships, in turn, helped to improve the quality and viability, or likelihood of implementation, of the plans developed.

4.6.2 Enhanced Capacity for Transportation Planning

Grantees’ experiences with the CBTP and EJ grant programs enhanced many organizations’ capacity to do transportation planning. Most survey respondents indicated that the grant they received improved their organization’s capacity, as shown in Figure 3; only six percent of respondents thought the experience did not increase their capacity to do transportation planning. The Blue Sky team did not ask follow up questions of the survey respondents, however, we found that interviewees who did not think the planning grant enhanced their transportation planning capacity explained that they already had well-developed capacity through a great deal of transportation planning experience.

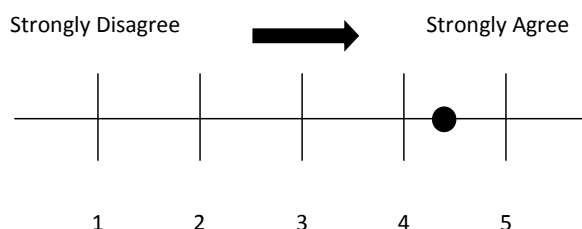
Figure 3: Average Response to Survey Prompt: “Participating in The Caltrans Planning Grant Program Enhanced Our Organization’s Capacity to Do Transportation Planning.”



4.6.3 Planning Laid Foundation for Next Steps

Survey respondents strongly agreed that the planning work laid the foundation for next steps in the project, as shown in Figure 4. Interviewees explained that the EJ and CBTP planning process translated community needs into a specific, design-ready project and provided evidence necessary for submitting competitive applications for implementation funding. As one survey respondent noted, the planning grant is a “resource multiplier.” Grantees targeting external funding for project implementation explained that the plans provided necessary evidence of an identified transportation need when they applied to competitive grants for implementation funding.

Figure 4: Average Score of Responses to Survey Prompt: “The Planning Work Laid The Foundation For Next Steps In The Project.”



4.6.4 Informed Other Projects

For many grantees, the EJ and CBTP grant-funded plans served as a means to inform other projects and discussions about a jurisdiction’s planning priorities. For example, the EJ planning process helped one community understand how to think about route planning, identify community concerns, and consider the public benefit of developing safe pedestrian paths. The community’s experience with the EJ project led to cooperation and support for a different project proposed by an adjacent jurisdiction that was funded and implemented. In another case, a transit study informed the development of projects for pedestrians and bicycles. Other studies guided comprehensive updates to county general plans with design guidelines for zoning and development codes. Multiple grantees emphasized that their CBTP or EJ study continues to

influence many developments and projects, such as one grantee's comment: "This project affects nearly every development, and every project, in a positive manner."

4.6.5 Summary of the Value of Planning Grants to Communities

Many grantees commented on the importance of the grant programs to their communities. For example, one respondent stated, "The EJ and CBTP grants have been a unique and important source of funding for transportation-related planning projects for our city. The funds have supported projects in very different kinds of communities and at different scales. Being able to tailor our work to serve these communities is crucial to producing successful projects." Another respondent described the planning grant as "a critical exercise for the community to look at a key transportation challenge and bring all points of view together and develop a comprehensive strategy to address the issues involved." The ways in which grantees described EJ and CBTP projects as adding value to their communities may be summarized as follows:

- Addressed transportation deficiencies
- Engaged the public in transportation planning
- Built connections, relationships, and partnerships
- Spread awareness and galvanize support behind project
- Enhanced the organization's capacity to do transportation planning
- Defined opportunities and constraints
- Prioritized needs
- Informed guidelines in jurisdiction's General Plan
- Provided a rare opportunity to develop comprehensive strategy or long-term master plan
- Enabled data collection, inventories of existing conditions, and needs assessments
- Produced feasibility studies
- Translated community need into a specific, design-ready project
- Catapulted projects into the funding pipeline and the county's or city's list of priorities
- Provided supportive evidence of need for competitive grant applications for implementation funding
- Generated capital improvements
- Generated operational improvements
- Informed discussions on other ideas and projects

4.7 Assessment of Subgroups' Experiences with Grant Programs

EJ and CBTP grantees comprise a diverse group. Cities, counties, Native American Tribal Governments, and others have successfully applied for EJ and CBTP grants. Although each grantee is unique, three subgroups of

grantees can be identified that face unique challenges in applying for and successfully implementing an EJ or CBTP grant: environmental justice communities, rural communities, and Native American Tribal Governments.

4.7.1 EJ Community Responses and Concerns for Future Grant Programs

Many grantees from EJ communities stated that the EJ and CBTP funding source was especially important for their communities. Multiple interviewees emphasized that, without these grants, input from EJ communities would not have been included in local city or county transportation plans. For example, one interviewee commented that the EJ grant made it possible to be “very accessible to low income communities ... to do projects that we normally could not fund. For us, [this EJ grant] made the difference to pay for public engagement and a consultant to produce visuals that the community could understand. ... I don’t know about what other grants would make it possible [to do this kind of planning].” Another grantee said the EJ grants “help get projects into the pipeline that would otherwise not be in the pipeline.” A third interviewee explained that “we want to be proactive in reach[ing] out to communities of concern not able to mobilize themselves who don’t know where to go to get support in the bureaucracy.” These respondents also indicated that they hoped the EJ focus would persist in the future under the restructuring of the Caltrans planning grant programs that began in FY 2014/15. For example, when discussing the Caltrans restructuring, one grantee commented, “we are big supporters of having funding set aside or having scoring for EJ. It is important. These projects slip through the cracks.”

4.7.2 Rural Community Concerns

Multiple grantees indicated that funding resources for rural areas are more limited than funding sources for urban areas, which may have access to more local tax revenue. Dependent on external funding sources, rural grantees viewed the EJ and CBTP planning grant programs as a critical resource for transportation planning, which allowed them to compete for implementation funding. Several rural grantees expressed a concern that the elimination of land-use planning as an eligible activity in the new Sustainable Transportation Planning Grant program would hinder their ability to compete for implementation funding. At the time of this evaluation, many state and federal funding sources for implementation focused on sustainability. Rural interviewees believed that they needed to incorporate land use changes into their transportation plans in order to compete for these sources of implementation funding. Interviewees commented that sustainability often translates to a reduction in vehicle miles traveled and an increase in the use of transportation alternatives to the automobile, which requires land-use planning in rural areas to develop density and revitalize corridors.

4.7.3 Native American Tribal Experience with Grant Programs and Concerns

Although Native American Tribal Governments are similar in many respects to other EJ and CBTP grantees, they nevertheless face a different legal, administrative, and cultural context for their transportation planning efforts. Many interviewees conveyed their appreciation for the opportunity to apply for the planning grants,

indicating that tribes are not always eligible for some other competitive grants.¹⁶ These interviewees highly valued the grants and considered the products as important and effective tools for their tribes. Most tribes that we interviewed and surveyed implemented at least some of the recommendations from the studies.¹⁷ Beyond implementation, some grantees described how planning grants cultivated an understanding of the importance of transportation planning among tribal members as well as encouraging partnerships with adjacent jurisdictions. Evidence also suggests that tribes vary in capacity for grant management, which warrants a differentiated response from Caltrans in terms of the extent of technical assistance and support provided based on each individual tribe's capacity.

Tribal members indicated that the planning grants provided a mechanism for more closely engaging with neighboring communities. Tribal interviewees described their communities as having a tendency to be somewhat culturally insular, which can make it more challenging to do projects that require participation and partnership with adjacent jurisdictions. However, Caltrans planning grants offered the opportunity to work through these issues with outreach efforts. For tribes that have done little planning in the past, these grants also help the communities understand the importance of transportation planning. For example, one interviewee described the main challenge in doing an EJ planning project that involved collaboration with another jurisdiction as "getting folks involved. ... The Tribe is historically insular. ... It was a different working relationship than they had experienced in the past."

Tribes varied in their capacities for grant management. Some tribes had sufficient staff resources and experience with grant writing, project management, reporting, and invoicing. Other tribes had very few staff members and no experience with grants prior to the Caltrans planning grant. Interviewees expressed concern that Caltrans staff did not appreciate the range of capacity at tribes. One interviewee from a tribe with higher capacity perceived comments about tribal capabilities from headquarters staff members as insensitive. Another interviewee who described her tribe as having minimal capacity for grant management thought that district staff members did not sufficiently recognize the tribe's limitations and underestimated the level of technical assistance they needed. "Even though district folks were extremely helpful, more technical assistance and training in the application process itself would be helpful ... And for (project) management – walk through things a bit more, what to expect, what will need to be done. ... We need more flexibility in understanding the capabilities of tribes." The wide range in capacity of tribes as reflected by these accounts suggests a need for a more flexible and differentiated approach to tribes and all grantees with varying levels of sophistication and experience.

¹⁶ See Appendix 7: Inventory of Alternative Funding Sources for more examples and more detail.

¹⁷ The EJ program awarded 13 grants to tribes (as the primary recipient) between FY 2006/07 and FY 2011/12. Of those tribes, 6 responded to the survey. We conducted 3 interviews with tribes that served as primary recipients on EJ grants.

4.8 Caltrans Management of Grant Programs

Caltrans district and headquarters staff play a fundamental role in the management of the planning grant programs.¹⁸ In order to assist Caltrans in improving its management of these programs, the Blue Sky team collected and analyzed responses from grant recipients with respect to all phases of the planning grant process, from initial application through development of the final products. According to our analysis of data collected from surveys and structured interviews, the role of Caltrans staff varied widely across projects and regions of the state. Some grant recipients reported that Caltrans staff were deeply involved with their projects, while others indicated that Caltrans staff primarily focused on fiscal management and the details of contract administration and showed little interest in other aspects of their projects. This variation is important because evidence suggested that many grant recipients valued and desired guidance beyond contract administration. The Blue Sky team's analysis indicated that deeper involvement by Caltrans staff is correlated with an increased likelihood of implementing recommendations from final plans.¹⁹

In addition to the basic responsibilities of fiscal management of the grant contract, Caltrans staff have an opportunity to become more involved in grantee projects in multiple ways. During the application process, staff can offer guidance and answer questions posed by potential applicants. Our analysis suggested that most applicants felt that they had adequate support from Caltrans staff during the application phase. In particular, survey respondents praised the pre-application workshops available to potential applicants. However, a sizeable minority, one-fourth of survey respondents, indicated that more technical assistance during the application process would have been helpful.

Once a grant is awarded, the opportunities for Caltrans staff to play a meaningful role are even greater. Caltrans program managers can help grantees identify other key HQ and district staff who have expertise in the other areas that may be relevant to grantee projects, such as complete streets, right-of-way, environmental analysis, and engineering. Caltrans grant program staff can also show support for grantee projects by participating in public meetings and offering feedback on grantee ideas and plans. In many cases, HQ and district staff have a wealth of experience with both the operation of the grant programs and with planning in general, and this expertise can serve as a useful resource for grantees.

4.8.1 Moving Beyond Fiscal Management of the Grant Contract

While the Blue Sky team is mindful of the recent cuts to the program budget and the resulting increase in workload for the remaining HQ program staff, our research nevertheless suggested that opportunities exist for

¹⁸ This evaluation did not focus on the administration of the programs, but rather on the role played by Caltrans staff in assisting grantees with development of successful, viable transportation planning products.

¹⁹ Blue Sky Consulting Group examined the role of Caltrans staff in depth through interviews and survey comments to arrive at this conclusion.

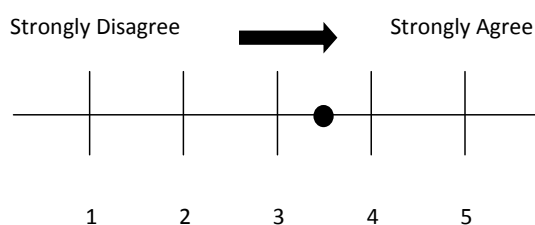
Caltrans HQ and district staff to be more helpful during the planning process. District staff could provide technical assistance more consistently to grant recipients who ask for it and become more involved with individual planning projects to help ensure that grantees produce viable final plans.

Data collected from grantees suggested that Caltrans staff primarily focused on ensuring complete and accurate reporting and invoicing paperwork. While multiple interviewees thought Caltrans staff did a good job with the ministerial aspects of grant administration (i.e. contract management), including responding to questions and making sure grantees were aware of deadlines and had the forms they needed, some respondents commented that Caltrans staff members were not as helpful as they could have been. Examples of respondent comments include: “When I asked for help on invoicing, I was referred to the manual;” “Caltrans asked for the invoice to be submitted one way, and then asked for it be re-done and re-submitted another way;” and “Caltrans is not consistent in their evaluation of eligible expenses for invoicing.”

The Blue Sky team’s review of feedback offered by grantees suggested a substantial interest in more involvement from Caltrans staff beyond contract management. Grantees who experienced very involved Caltrans staff praised them for their efforts: “Caltrans staff provided valuable assistance throughout the planning process” and “Caltrans innovative and supporting staff... were key [to the success of our project].” Other grant recipients who desired more involvement, but did not receive it, made comments such as, “the lack of involvement in the planning process was not helpful.” One grantee described Caltrans administration of the grant program as detached from the intent of the projects and complained about receiving little or no feedback on submitted reports. This grantee went on to note that Caltrans staff showed little interest in the community meetings or outcome of the project.

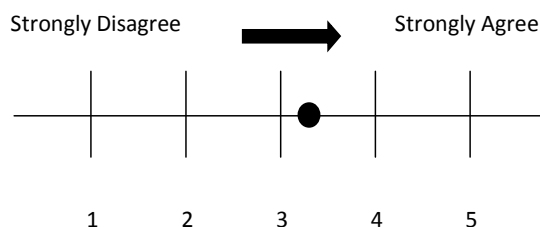
Through the online survey, the Blue Sky team assessed the extent to which grantees perceived Caltrans staff as providing helpful expertise and guidance. Survey results suggested that, overall, grantees viewed the role of Caltrans staff neutrally, neither strongly agreeing nor strongly disagreeing with the statement “Caltrans provided helpful expertise and guidance” (see Figure 5).

Figure 5: Average Response to Survey Prompt: “Caltrans Provided Helpful Expertise and Guidance.”



Similarly, Figure 6 shows that grantees responded neutrally to the survey prompt, “Caltrans staff assisted with identifying contacts within Caltrans or other organizations that were helpful in completing the plan” (average score of 3.3).

Figure 6: Average Response to Survey Prompt: “Caltrans Staff Assisted with Identifying Contacts within Caltrans or Other Organizations that were Helpful in Completing the Plan.”



Where Caltrans staff were found to be especially helpful and engaged, grantees reported that Caltrans staff attended community meetings, provided guidance with content expertise, suggested contacts in other Caltrans departments when needed, and helped to identify funding strategies for implementation.

Interviewees explained that attendance at community meetings helped Caltrans staff better understand the grantees’ plans, the intent of the project, and challenges. This understanding enabled them to better advise the grantee. For example, an interviewee explained that Caltrans staff attendance at community meetings “helps them better understand our plan and the issues we were having getting input. I think it was beneficial.” One interviewee indicated that Caltrans’ presence lent legitimacy to the project among the community and conveyed a sense of partnership. “[The Caltrans staff member] was out there at the walk on the trails and the outreach meeting. We found that helpful. It is always good to have a representative from the project, the consultant, and Caltrans with the community. It is a good visual to let the community know that it is a joint project. It is helpful.” Another grantee stated that Caltrans’ attendance helped the community understand why some options were not viable.

Multiple grantees expressed a desire for Caltrans staff to give feedback on the viability of recommendations or strategies to be incorporated into grantee plans, especially those recommendations concerning federal and state standards. For projects involving state highways, some grantees found knowledgeable staff members extremely helpful in flagging ideas that developed during the planning process that would potentially meet resistance in other Caltrans functional units. These staff members helped grantees by introducing them to other Caltrans staff in various divisions with expertise relevant to the project. This type of assistance from planning staff helped communities better understand the viability of various options and engage the necessary Caltrans divisions from whom they needed approval along the way, such as the Division of Traffic Operations or Division of Right of Way. For example, one interviewee commented,

The District Caltrans people were very helpful. During the planning process, they introduced us to the engineers in traffic that we needed to engage. There was a liaison for Planning and Traffic. They flagged recommendations they thought would be met with resistance. We met with 2 people at various stages. We invited district staff and they attended community workshops. We sat down with them. We were at the table. And now there’s a team of people in Caltrans we sit down with from time to time. Great communication, great working groups. ...

Some of the more creative and far reaching elements of the study were difficult to achieve within Caltrans ROW. We were talking with and engaged with engineers in traffic and planning during planning. They were not shy in saying that some of our recommendations would not meet highway design standards.

Not all interviewees, however, experienced this same level of cooperation with staff. For example, one interviewee commented, “the district person could not connect us to someone in Caltrans with ROW expertise to ask about requirements so that we can know if our plans are viable.”

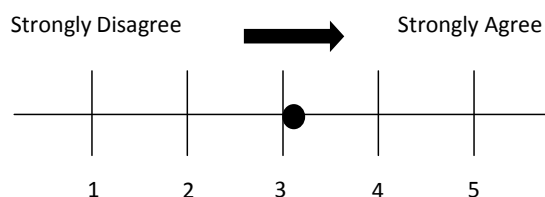
Finally, while this evaluation did not focus on the administration of the EJ and CBTP grant programs specifically, some grantees nevertheless offered comments on Caltrans administration of the EJ and CBTP grant programs. In general, these comments suggested that the reporting requirements and invoicing processes were cumbersome for some grantees. One grantee, for example, indicated that “the required quarterly reporting is far too time consuming. We spent more time on this than on the grant in some months. No other grants require this level of administrative oversight.” Another grantee urged program managers to “simplify the reporting as much as possible,” while a third stated that “the paperwork requirements for all things Caltrans are just more burdensome than they need to be. At times we feel like we’re spending as much time complying with rules as actually doing the work.” Because the EJ and CBTP programs have been integrated with the Sustainable Transportation Planning Grant Program, these concerns about administration may no longer be relevant or they may have been addressed. However, to the extent that these administration concerns have not been addressed, an opportunity may exist to streamline grant program administration requirements in the future.

4.8.2 Opportunities Exist to Help Grantees Pursue Implementation

Generally, survey respondents had neutral reactions to Caltrans’ role following completion of the planning process. During the project implementation phase, respondents generally did not believe that Caltrans delayed or prevented implementation of projects funded with the planning grants.²⁰ Nor, however, did respondents believe that Caltrans assistance was important for successful project implementation as shown in Figure 7. These neutral responses to Caltrans’ role suggest that opportunities exist for Caltrans staff to be more helpful as grantees pursue implementation. District staff could provide more guidance on how to pursue funding for implementation and how to pursue approvals from Caltrans when applicable.

²⁰ Survey respondents disagreed with the prompt “Please indicate the extent to which the following delayed or prevented you from accomplishing the project goals: Caltrans staff turnover” with an average score of 1.9. A third of respondents selected “Not Applicable.” Similarly, respondents disagreed that “Conflicts with or lack of assistance from Caltrans staff” delayed or prevented projects with an averages core of 1.9 and nearly 1/3 abstaining with “not applicable.” In Figures 8 and 9, we show that Caltrans staff members rank low among other factors in terms of their importance to successful implementation as well as the extent to which they delay or prevent implementation.

Figure 7: Average Response to Survey Prompt: “Please Indicate the Extent to which the Following were Important for Successful Implementation: Assistance Offered by Caltrans Staff During the Course of the Planning Process.”



4.8.3 Caltrans Could Improve Guidance for Grantees in their Search for Funding

Some grantees expressed frustration towards a perceived “disconnect” between the planning grants and funding opportunities for next steps beyond planning. One respondent said, “There is a disconnect between Caltrans supported planning and state administered funding programs.” Another grantee commented, “I wish [planning grants] were more of a first step in series of grants that could lead to a completed project... the next steps seem too hard to achieve.”

The Active Transportation Program (and predecessor programs²¹) provides one such next step funding source; however, a lack of coordination between planning and implementation funding programs may be hindering the ability of some grantees to secure implementation funding. Some grantees expressed frustration at the lack of reception by Caltrans staff in other divisions after receiving encouragement from the Caltrans Planning division. For example, one grantee heeded the recommendation of Caltrans district staff members in Planning as well as in Traffic Operations to included roundabouts in the EJ and CBTP grant-funded plan. However, during an advisory committee meeting for ATP applications, a different Caltrans staff member indicated that the roundabouts did not meet the objectives of the ATP program and therefore did not recommend the application for advancement. In general, grantees seemed to have little awareness of the ATP program or confidence that they would be competitive if they applied.

In addition to improving the connection between staff in the Planning division and staff administering ATP in the Local Assistance division, improving the connection between Planning and other divisions such as Traffic Operations through more staff communication would benefit grantees as well. Some grantees with projects involving roads under Caltrans’ purview experienced frustrations with inconsistent feedback across Caltrans

²¹ Predecessor programs now consolidated under ATP include the Transportation Alternatives Program, federal and state Safe Route to School programs, and Bicycle Transportation Account.

divisions when pursuing implementation, encountering resistance in other Caltrans divisions after planning staff were very supportive of their plans. Some grantees also expressed frustration at the lack of flexibility in standards that obstruct innovative design solutions (and about which they were apparently not informed by district staff during the grant administration phase of the project). Recent changes in the Design division that encourage more flexibility will hopefully improve consistency among Caltrans divisions, however, Caltrans staff could be most helpful by increasing their awareness of the Design Division changes and requirements and communicating relevant design issues and resources to grantees when relevant and feasible.²²

In cases where Caltrans staff are more engaged, however, grantees are able to vet their ideas and more efficiently advance their projects. In these cases, effective guidance from Caltrans staff and communication with other divisions has informed grantees about design limitations during the planning process. As a result, these grantees were able to alter their plans, or begin pursuing design exceptions or the relinquishment of the state highway right-of-way, both of which are lengthy processes.

In general, this evaluation suggested that many capable and engaged staff throughout Caltrans have helped grantees to develop viable plans and provided advice that increased the prospects that these plans would ultimately be implemented. These capable and engaged staff can set the example for other staff, who primarily see their role as one of contract administrator, rather than as partner, guide, or helper. Many successful grant-making organizations embrace this partnership model, with program officers encouraged to act as advisors and partners to grantees.

4.9 Factors Contributing to Successful Implementation

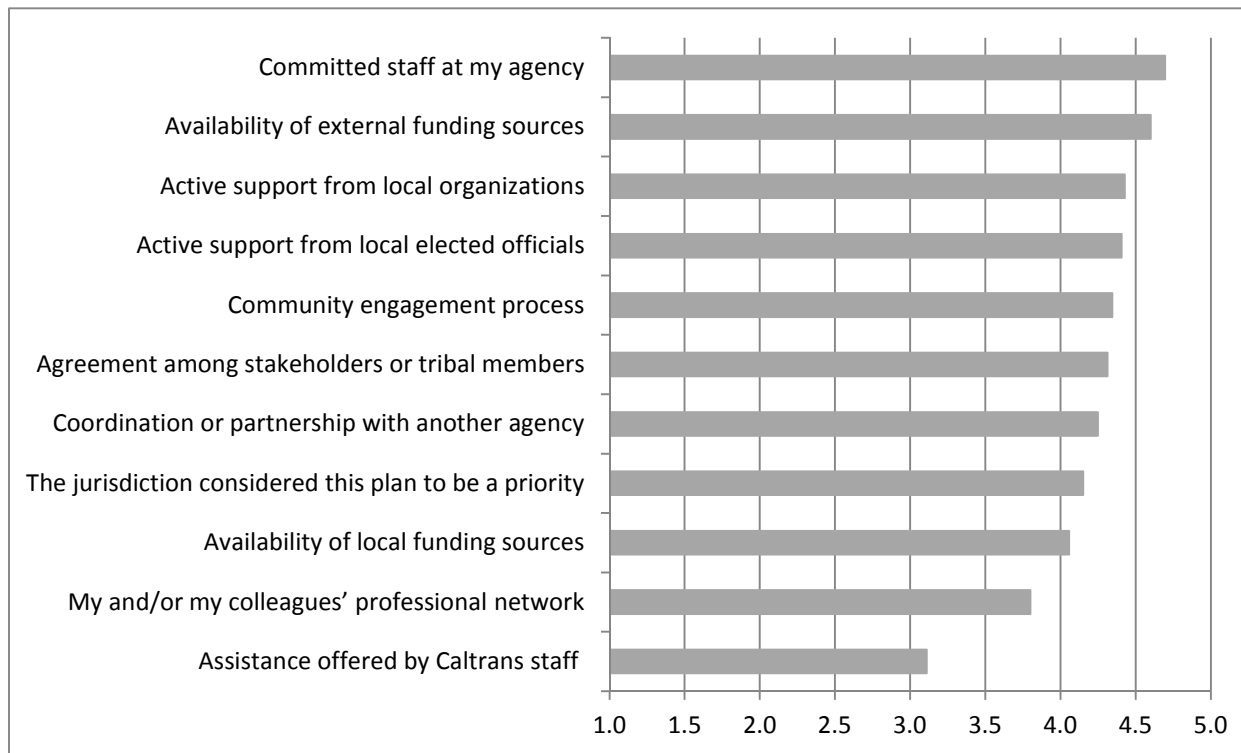
Seeing a plan through to implementation (in whatever form) is the ultimate goal of both grantees and the planning grant programs themselves. Implementation of a study or plan's recommendations can take many forms, from making capital or operational improvements to coordinating transportation services within or across agencies. Planning projects other than capital or operational improvements pursued a second study, educational campaign, or adopted planning principles as a community's master guide for all future projects. In this section, we identify the factors associated with successful implementation.

Using data collected from the structured interviews and online survey, the Blue Sky team identified the characteristics of individual projects and grantees that are associated with successful implementation. We found that, in many instances, grantees themselves are the best judges of the factors that led to successful

²² Division of Design Memo, "Design Flexibility in Multimodal Design," April 10, 2014. Accessed June 30, 2015, <http://www.dot.ca.gov/Documents/2014-4-2-Flexibility-in-Design.pdf>. "Main Street, California: A Guide for Improving Community and Transportation Vitality," November 2013, Accessed June 30, 2015, http://www.dot.ca.gov/hq/LandArch/mainstreet/main_street_3rd_edition.pdf. The American Association of State Highway and Transportation Officials (AASHTO), "Guide for the Development of Bicycle Facilities," Fourth Edition 2012. Accessed June 30, 2015, http://www.fhwa.dot.gov/environment/bicycle_pedestrian/guidance/design_guidance/design_flexibility.cfm.

implementation (or stood in the way when implementation efforts stalled). We asked respondents to identify these factors, and the survey results are presented in Figure 8.

Figure 8: Factors Important to Successful Implementation of Recommendations from EJ and CBTP Plans



Note: A score of 1 indicates that the survey respondent strongly disagreed that the factor listed was important for successful implementation; a score of 5 indicates a strong agreement. See Appendix 3: Survey Instrument for full text of the survey prompts.

As the survey results shown in Figure 8 demonstrate, grantees believed that committed staff at their agencies were very important to successful implementation. Effective staff can help an agency identify and secure implementation funding, build an effective community engagement effort, help secure the support of local elected officials, and coordinate with Caltrans or another local agency -- all factors that are likely to lead to successful project implementation. For example, one interviewee attributed their success to a “staff champion” who “kept pushing hard” to pursue implementation even after the individual moved to a different position in a different agency.

Beyond committed staff, grantees indicated that availability of funding was very important to successful implementation. Identifying funding sources was perhaps the greatest obstacle to plan implementation, and successful grantees pursued a variety of strategies, including pursuit of local, regional, state, federal, and

private funding for their projects.²³ One potentially important strategy involved considering potential funding sources for implementation throughout the planning process. Most final plans included a section on funding strategy or a list of potential funding sources. This practice seems to hold promise if effectively pursued. Many grantees organized this information with a funding matrix in order to match multiple pots of money to different particular next steps (See Appendix 8: Funding Matrix: A Guide for Grantees for an example of a funding matrix). Regardless of the method, successful grantees were proactive about seeking funding, rather than considering planning and implementation as entirely distinct steps or phases.

Leveraging resources from other projects through inter-agency coordination was another common strategy for implementation. Through networking, grantees heard about projects being funded or implemented in areas relevant to their plans. For example, interviewees coordinated with Caltrans and their local MPOs to incorporate plan recommendations into capital improvements already underway. Additional examples included incorporating recommendations for pedestrians into a bond-funded transit project or reallocating funding from a different project that fell through due to lack of community support. Another interviewee improved city bus service according to the plan's recommendations through a well-timed effort to coordinate with a new regional transit station. One interviewee described their efforts in "marketing" the project to ensure that all relevant entities knew of the plan so as to not miss an opportunity for coordination. Some interviewees credited their success with identifying the key people relevant to project implementation and including them early in the planning process.

In addition to capable staff and successful efforts to identify funding, support from the local community was viewed as extremely important by grantees as well. This support could take many forms, including direct community support, support from local elected officials, or a community engagement process that successfully produced consensus among community groups. Sustained community involvement also played an integral role in advancing projects towards implementation. Consequently, projects with successful community engagement efforts were more likely to be implemented. Proactive communities remind public officials that their plan is a priority. A community engagement process that aligns various stakeholders' interests, cultivates agreement on the recommendations, and engages a strong community-based organization provides a solid foundation for sustained community support. Widespread involvement from all sectors can generate enthusiasm noticeable to elected leaders so that they will be more likely to rate the project more highly when making funding decisions. Grant recipients who involved local elected officials and secured their support during the planning process largely credit this support for successful implementation. For example, one interviewee described how the mayor "did a remarkable job pushing projects through City Council and then going door to door to

²³ Many plans included a section on funding strategies for implementation. Appendix 7: Inventory of Alternative Funding Sources provides a discussion of specific funding sources. .

businesses encouraging them to participate, talking up the project, and getting the Business Bureau and Chamber of Commerce involved.”

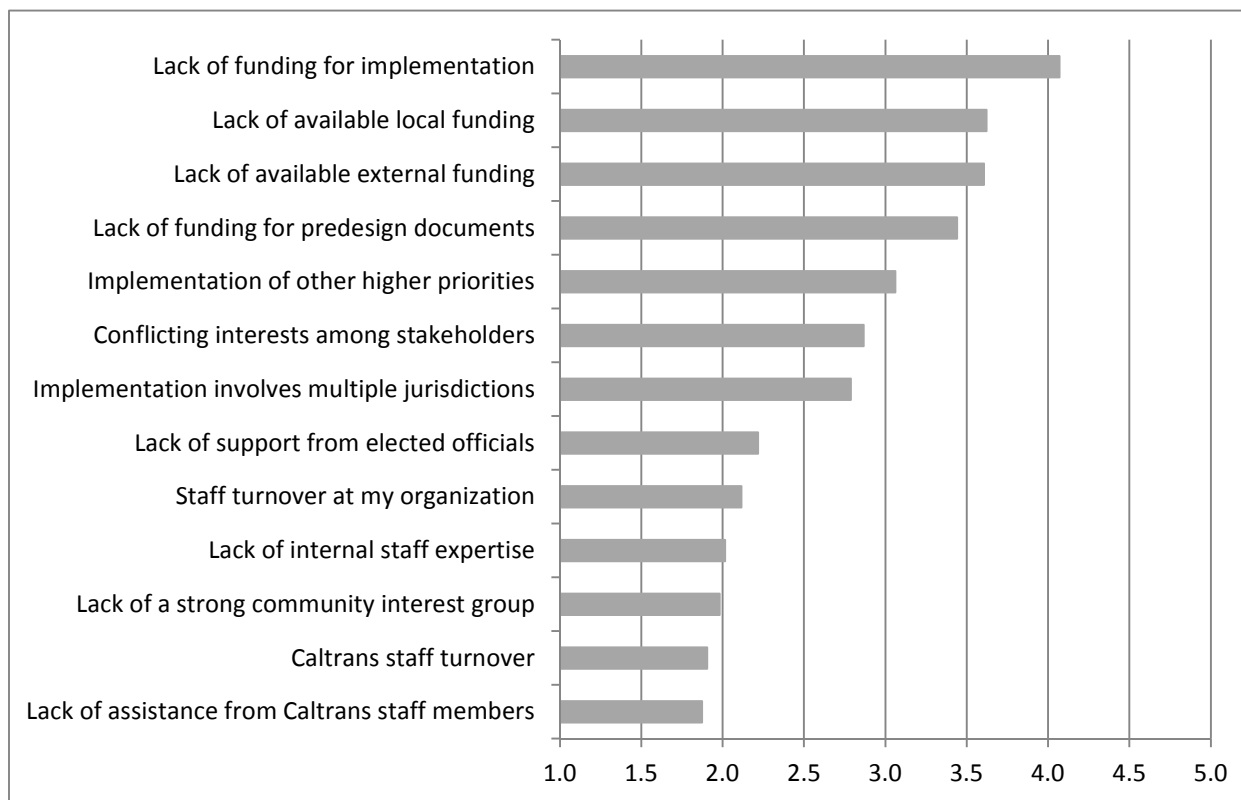
Other factors that grantees viewed as important to ensure success included effective coordination or partnership with another local agency, availability of local funding sources, and access to professional networks. Assistance offered by Caltrans staff was viewed more neutrally, with a score of about three (3) on our survey scale, indicating that survey respondents neither agreed nor disagreed, on average, that this type of assistance was important for success.

4.10 Challenges to Successful Implementation

Many projects experience challenges that can delay, or even prevent, implementation of a plan’s recommendations. For EJ and CBTP plans, the primary challenge to successful implementation is securing funding for the project, particularly funding for pre-development work such as environmental studies or design. An array of other factors can delay or prevent implementation, such as competing priorities, conflicting interests among stakeholders, and ineffective or problematic coordination with multiple jurisdictions.

Grantees identified factors that delayed or prevented their efforts to implement the recommendations from their plans during interviews. The Blue Sky team used these factors as prompts in the online survey. The online survey asked respondents to identify the extent to which these specific factors delayed or prevented them from accomplishing the project goals. These factors are charted in Figure 9 in order of importance based on the average scores from the grantee survey.

Figure 9: Factors that Delayed or Prevented Implementation of Recommendations from EJ and CBTP Plans



Note: A score of 1 indicates that the survey respondent strongly disagreed that the factor listed delayed or prevented implementation; a score of 5 indicates a strong agreement. See Appendix 3: Survey Instrument for full text of the survey prompts.

Although grantees believed that multiple factors were important for successful implementation, the list of important factors that stood in the way of implementation was considerably shorter. In fact, as shown in Figure 9, the average score of only one factor – lack of funding for implementation – exceeded 4.0, indicating that grantees agreed or strongly agreed that this factor delayed or prevented implementation of their projects. In contrast, nine individual factors associated with successful implementation listed in Figure 8 were scored above 4.0. Further, all four of the most important factors preventing or delaying implementation relate to lack of funding, whether overall funding, local funding, external funding, or funding for preliminary design documents. All of the other factors listed received scores of 3.0 or less, indicating that, on average, grantees did not believe that these factors prevented or delayed implementation of their projects.

The interview data collected by the Blue Sky team confirmed that the most common and most significant challenge to implementation was obtaining funding. Many interviewees commented on the difficulty of identifying funding for activities such as environmental review and design. For example, one interviewee explained that neither the city nor the MPO would fund an environmental study. Grantees indicated that very few external funding sources exist for these activities. Furthermore, grantees suggested that the lack of available funding for activities such as environmental review and design was particularly important because

most external funding opportunities devoted funds exclusively to “shovel-ready” capital improvement projects. Even identifying funding for construction was challenging because competitive grants were oversubscribed and decision-makers confronted many competing priorities for the use of local funding or formula funding from federal or state sources.

4.11 Recipe for Successful Implementation

Advancing a project from the planning stage to implementation involves multiple concurrent factors. Committed staff members at the grantee’s agency, availability of external funding sources, and active support from local organizations, community leaders, and local elected officials cultivated through the community engagement process were some of the most important ingredients for successful implementation. Project implementation was often the result of dedicated staff effort, sustained and unified community support, well-written grant applications, and coordination with other agencies. Therefore, the Blue Sky team concluded that planning projects with these elements resulted in viable plans (i.e. those that were likely to be implemented). The Blue Sky team used this conclusion to inform recommendations and the development of performance measures in Sections 5 and 6.

5 Recommendations

The results of this evaluation of the EJ and CBTP planning grant programs indicate that many aspects of these programs were operating well. Indeed, most projects that received funding implemented at least some recommendations from their plans, which was the shared goal of both grantees and planning grant program managers. However, the results also suggested some steps that Caltrans could take to improve the performance of the planning grant program going forward. Recognizing the reality of budget constraints, the following discussion addresses some practical recommendations that should be feasible to implement within available resources. To the extent that additional resources are required to accomplish these recommendations, Caltrans should seek to identify and provide needed resources in order to ensure continued program success.

5.1 More Specifically Define Goals

The goal statement for the EJ and CBTP grant programs, developed by the Blue Sky team, the Steering Committee, and the EJ and CBTP grant program managers during the course of the evaluation, is general, essentially ceding to localities the discretion to determine which of Caltrans multiple statewide goals is to be pursued. However, by setting a more explicit goal statement that identified from within the overall Caltrans goals those that are most appropriate or feasible to accomplish with planning grant funds, Caltrans could take better advantage of the opportunity for the grant programs to accomplish a specific Caltrans priority or goal.

We believe that the lack of a more specific goal that links the performance of the grant programs to the accomplishment of specific organizational goals or objectives represents a critical gap which could potentially

undermine future support for these programs. Therefore, we recommend that a more specific goal statement be developed that identifies specific, measurable objectives for these grants.

Furthermore, if values embedded in the former EJ and CBTP grant programs are to be retained, then a more explicit role for these communities/types of grantees should be specified within the context of the new Sustainable Transportation Planning Grant Program. Developing an explicit role for these types of applicants would involve incorporating into the broader program the goal statement adopted by the Steering Committee for the EJ and CBTP component of the new Sustainable Transportation Planning Grant Program that explicitly mentions EJ and disadvantaged communities, and developing program elements around these categories such as a funding set aside or application scoring criteria.

5.2 Establish a Performance Measurement System for the Grant Programs

Caltrans currently has no effective basis for evaluating the impacts of its planning grant programs. Specifically, as a matter of practice, individual completed plans are not reviewed and evaluated, nor is there a process or mechanism in place to assess the overall success of the programs as measured against the Department's goals. Importantly, this absence of regular program review and evaluation means that Caltrans does not have a method for analyzing the effectiveness of these grants. Therefore, we recommend that a performance measurement system be established based on the performance standards identified in this report and the grantee surveys described below. Section 6 outlines a Performance Measurement System based on the goal statement drafted as part of this evaluation. Performance measures may need to be modified once a new, more specific goal statement has been drafted.

5.3 Expand and Refine Existing Grantee Close-Out Survey

A post-grant survey provides the most efficient mechanism for determining whether grantees' plans are being implemented and whether there are other successes or opportunities for improvement in the management of the program that should be built upon or addressed. Specifically, we recommend that the existing grantee close-out survey be modified to include a series of quantitative questions that could be tracked over time and across grantees to measure program performance in a systematic way. In addition, we recommend that all grantees be surveyed at an interval of three to five years following the conclusion of the planning grant phase, in order to determine whether and to what extent projects have been implemented.²⁴ The obligation to complete these surveys (or to make a "good faith effort" to do so) should be included as a contractual obligation of grantees as a condition for receipt of grant funds. In summary, the Blue Sky team recommends

²⁴ For thorough data collection, the Division of Planning could survey grantees successively until the grantee implements the plan to the fullest extent possible or decides not to further pursue implementation.

surveying each grantee at two distinct points during the planning process: first with an updated close-out survey upon completion of the grant, and second with a post-grant completion survey 3 to 5 years later.

These surveys could be conducted online and the resulting information stored in an electronic database in order to facilitate the generation of summary results or reports from quantitative questions. Such a process could be largely automated, and would provide a “dash board” of performance metrics that could be used by program administrators to assess program performance. The grantee survey used as the basis for much of the data collected in this evaluation could serve as the basis for developing the modified questions on the close-out survey and the post-grant completion survey.

5.4 Emphasize Subject Matter Guidance in Addition to Contract Compliance

For many Caltrans staff engaged in the planning grant programs, particularly at the district level, the focus of their work is largely on contract administration. However, successful grant-making organizations routinely offer additional help, guidance, and expertise to grantees beyond issues of contract compliance, invoice processing, and other administrative tasks. Program officers at successful grant-making organizations act as resources for grantees, offering advice, serving as sounding boards for new ideas, and providing access to professional contacts and experts.

In order to achieve such a change in orientation on the part of Caltrans district staff, expectations from headquarters for district staff to act as a resource for grantees in addition to serving as contract managers should be made clear. Considering budget and staff constraints, we make a few specific recommendations for reorienting the role of district staff that do not require a significant commitment of additional resources.

5.4.1 Facilitate Communication among Grant Staff

These efforts could be facilitated through enhanced communication and information sharing among grant staff (many of whom already embrace the role of partner, guide, and supporter for grantees). One simple tool for facilitating such communication is to launch an online discussion board or email list serve for district staff members to share knowledge and Frequently Asked Questions (FAQs) across districts.

5.4.2 Engage Staff in Grantee Meetings

District staff should be encouraged to attend community meetings for each project as a way to show support for grantees, become more educated about and aware of grantee plans, and enhance opportunities for collaboration.

5.4.3 Assist in Identifying Funding Sources

District staff should be encouraged to become familiar with and inform grantees about sources of funding for implementation, including the objectives and scoring criteria of the two main state funding sources, ATP and the Affordable Housing and Sustainable Communities program (AHSC). One mechanism for developing this

expertise and communicating this information to grantees is the development of a grant guide that specifies possible funding sources – see Section 5.6 “Address Funding Challenges to Project Implementation” below. While providing this information, Planning staff should encourage grantees to begin thinking about funding strategies early in the planning process and provide a framework grantees can use in their plan to organize next steps (see Appendix 8: Funding Matrix: A Guide for Grantees).

5.5 Expand/Formalize Technical Assistance Available to Applicants and Grantees

Caltrans should continue to provide assistance prior to the call for applications and continue the pre-application workshops. As part of this assistance, Caltrans should incorporate into the application guide information about the characteristics of high quality applications.

For the planning process, Caltrans should develop a program guide of best practices for grantees. The factors identified in this report as important to success could serve as a foundation for developing this guide which could be presented as a printed document as well as via the grant program website. Going forward, staff members should update this guide based on new data collected from post-grant completion surveys.

Finally, Caltrans should launch an online discussion board for grantees to share knowledge, network, and seek mentors. This discussion board should include multiple sub-forums for groups with particular shared concerns, such as tribes and rural areas.

5.6 Address Funding Challenges to Project Implementation

To address funding gaps that make it difficult for projects to advance beyond the planning stage, Caltrans should adopt a broad and flexible definition of planning that includes preliminary environmental scoping, constraint analyses, feasibility studies, and preliminary design work. Caltrans should also develop a guide for grant recipients on potential funding availability. Headquarters Planning staff could use the spreadsheet provided in this report as a basis for developing this guide (see Appendix 7: Inventory of Alternative Funding Sources) and update the guide periodically based on grantee survey responses, changes in Caltrans funding sources, and other information. Centralizing this information for grantees would be an efficient use of resources.

5.7 Strengthen Planning Division's Role in Program and Project Funding

As identified in the January 2014 State Smart Transportation Initiative (SSTI) report, strengthening the connection between planning and project implementation is an important objective for Caltrans.²⁵ However, lack of knowledge about available funding for environmental reviews, design, construction, and operational improvements is the most common challenge facing grant recipients attempting to implement their plan recommendations. Currently, grant program staff play a relatively limited role in assisting grant recipients in identifying potential funding sources for a plan's recommended implementation steps.

The statewide Active Transportation Program (ATP), which is managed by the Division of Local Assistance, appears to be the only funding source under the Department's direction for which many grantees' projects are clearly eligible. While this program is over-subscribed, one option the Department could consider is to identify a reasonable set-aside to help fund the best of the EJ and CBTP-type plans. At the very least, participation in the planning grant program, the accompanying guidance from Caltrans planning staff, and the resulting plan should well position the grantees to write a competitive application for ATP. Ensuring this outcome would require improved communication and coordination between the Division of Local Assistance staff who manage ATP and Planning staff who manage STP.

6 Establishing a Performance Measurement System

As a cornerstone of this program evaluation, the Blue Sky team developed a program logic model which identified key activities, both short- and long-term outputs resulting from these activities, and outcomes tied to these outputs. All of these elements are tied to the impact of the plans that have been funded and completed. The activities, outputs, and outcomes presented in the logic model can serve as the basis for developing performance measurements that Caltrans can use to provide ongoing assessment of any grant program's success in achieving its goals.

Recognizing that establishment of a data collection system for any program being measured can be costly and difficult to administer and maintain, we recommend that Caltrans develop a data collection system based on two electronic surveys of grantees that can be used on a regular basis to identify essential data required for a performance management system. By developing an electronic survey, data collection costs can be minimized. And, given the relatively small number of grantees and likely survey responses, the results can easily be stored in existing software such as Microsoft Excel without the need to create a database. We further recommend that Caltrans identify and track a limited number of performance measurements in order to maintain appropriate focus on the most important elements that contribute to supporting the program goals. What

²⁵ State Smart Transportation Initiative Report available at:
http://www.calsta.ca.gov/res/docs/pdfs/2013/SSTI_Independent%20Caltrans%20Review%201.28.14.pdf

follows are suggested measurements which we believe would accomplish this purpose and which would lend themselves to measurement via an electronic survey instrument.

6.1 Specific Performance Standards

1. Performance Standard: Caltrans provides useful guidance and assistance during planning process
 - a. Measure: Grantee close out survey responses indicate effective assistance
2. Performance Standard: Viable transportation plans with recommendations consistent with grant program goal are produced
 - a. Measure: Grantee close-out survey indicates effective public engagement and support from local communities and elected officials
 - b. Measure: The plan provides an outline for implementation, including potential funding strategies (if needed)
3. Performance Standard: Recommendations from the final grant-funded plan are Implemented
 - a. Measures:
 - i. Number and percent of plans accomplishing at least some of plan recommendations;
 - ii. Number and percent of plans accomplishing most of the recommendations;
 - iii. Number and percent of plans funded for environmental reviews;
 - iv. Number and percent of plans funded for design;
 - v. Number and percent of plans funded for construction;
 - vi. Number and percent of plans funded for operational improvements.
4. Performance Standard: Plans help to achieve Caltrans goals
 - a. Measures:
 - i. Number and percent resulting in mobility improvement;
 - ii. Number and percent having positive impact on transportation safety;
 - iii. Number and percent having a positive impact on economy;
 - iv. Number and percent having a positive impact on environment;
 - v. Number and percent in support of equity;

-
- vi. Number and percent in support of sustainable communities;
 - vii. Number and percent having other positive impacts.

7 Conclusion

Caltrans Environmental Justice and Community-Based Transportation Planning grant programs have served an important role within the context of funding opportunities for transportation planning. Our research suggested that many plans and projects would not have been possible without the assistance of these funding sources. Furthermore, grantees are quite successful in seeing their plans through to implementation, with more than two-thirds of all final plans achieving implementation for at least some recommendations.

In order to maintain and improve upon this success, we recommend the following:

1. More specifically define grant program goals
2. Establish a performance measurement system for the grant programs
3. Expand and refine the grantee close-out survey in order to collect information about grant program performance.
4. Emphasize subject matter guidance in addition to contract compliance among grant program staff
5. Expand and formalize technical assistance available to applicants and grantees
6. Address funding challenges to project implementation through development of a grant guide that identifies potential implementation funding sources and adopting of a broader definition of “planning” that expands the allowed uses of grant funds
7. Strengthen Planning Division’s role in program and project funding by developing better coordination with the Active Transportation Program

8 Appendices

8.1 Appendix 1: Steering Committee Members

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8.2 Appendix 2: Report on ICF 2009 Study

In the course of conducting our evaluation of the EJ and CBTP grant programs, we reviewed a previous evaluation of these programs conducted by ICF International (ICF) in 2009. The 2009 report primarily focused on administration of the grant programs, as opposed to the program management and strategic issues which comprised the core of the current effort. However, we provide here a brief overview of the 2009 report's purpose and methodology and a summary of the key findings and recommendations.

8.2.1 Purpose of ICF's 2009 Report

ICF was charged with review and analysis of a sample of awarded grants from FY 2000/01 thru FY 2005/06. ICF's effort sampled 39 projects from a total of 216 projects completed during that period.

ICF utilized five basic methods for conducting its review of the grant programs:

1. Product Inventory which identified information about grant awards made and studies conducted primarily in FY 2000/01 to FY 2004/05, with some information on projects funded in FY 2005/06;
2. Development and use of an on-line survey to grant recipients and stakeholders;
3. In-depth interviews, including Caltrans staff;
4. Focus groups- three were conducted with between 8 and 15 participants;
5. Individual grant product reviews.

The data and information collected from all five of these approaches included feedback from Caltrans staff, direct grant recipients, and other stakeholders (many of whom were directly impacted by the studies). The surveys attempted to uncover information in the following areas:

1. Impacts of the studies throughout the state;
2. Status of approved studies;
3. Successful studies that might serve as models for future grant recipients;
4. Identification of successful strategies for eliciting effective public participation in planning studies;
5. Suggested improvements to the grant process.

The numerous project reviews assessed the following areas:

1. Whether approved project scopes were in fact completed in the final studies;
2. Whether approved studies achieved both state and federal planning goals;
3. A summary of the current status of approved studies;
4. Successes and challenges in the administration, development, and implementation of approved planning studies.

8.2.2 Key Findings and Recommendations

ICF reported that 53 percent of respondents to their online survey were Caltrans headquarters and district staff; forty percent of respondents were grantees. All of those responding claimed that their planning studies had been completed. In addition, 76 percent of plans had made some progress toward implementation and 10 percent had been fully implemented. Respondents emphasized that widespread public participation had been one of the major benefits of their respective studies, and no respondents concluded that their study had not been a success. Limitations on available funding, bureaucratic hurdles, and lack of staff trained in transportation planning were cited as major reasons that projects were not advanced beyond the initial funded study.

Focus group meetings generally reinforced these findings, emphasizing the success of widespread public participation, including participation by under-represented groups. These meetings also reinforced concern about limitations on funding for advancing recommended transportation improvements.

Importantly, ICF's 2009 report offered recommendations for EJ and CBTP programs in the following three areas:

1. Grant administration, including the application process;
2. Grant project development following approval from Caltrans;
3. Grant project implementation, including the transition from study recommendations to implementation of specific projects identified by the studies.

8.2.3 Grant Administration Recommendations

ICF made six major recommendations in this area, ranging from the application process to the contract closeout. These recommendations included:

1. Need to clarify program policies and procedures, especially as concerns management roles of Caltrans headquarters and district staff, respectively;
2. Grant applications should eliminate duplicative application questions;
3. Grant applicants would benefit from opportunity to see more examples of previously successful grant submissions to serve as strong models for new applicants;
4. Need for Caltrans' contracting process to be streamlined so as to expedite beginning of work on approved studies;
5. Need for more consistent project monitoring across all Caltrans districts. Common policies and procedures should be utilized by all districts;
6. Improve project close-out process and develop and maintain complete data bases for projects as they are completed.

8.2.4 Grant Project Development

ICF made nine recommendations in this category:

-
1. Require more formal approvals of project scope changes to minimize scope creep which may delay and undermine original purpose for study;
 2. Caltrans should more closely assess the organizational capacity of grant recipients to avoid problems associated with conducting approved studies with limited or inadequate agency resources;
 3. Caltrans should provide grant recipients with more training in the transportation planning process since many are not professional transportation planners and have little or no previous experience with such planning;
 4. Grant recipients have inadequate knowledge about how transportation projects are funded. Therefore, Caltrans should provide more information on this subject via training or internet sources;
 5. Since many grant recipients lack resources for follow-up work on approved studies, many of the plans “sit on the shelf” and are not acted upon. Caltrans should consider accessing resources to move studies to next steps that may eventuate in a completed project;
 6. Caltrans should consider encouraging and assisting recipients that have completed successful studies to develop public relations efforts to sell future efforts to implement study recommendations and help identify potential funding sources for next steps;
 7. Caltrans should encourage grant recipients to focus upon short and medium term goals in their studies that could more readily be carried out in order to demonstrate that these studies can result in near-term improvements. Without a shorter term focus, grant recipients may have unrealistic expectations for what can actually be accomplished in a reasonable time period;
 8. Some grant recipients had unrealistic expectations about how time consuming and complex public participation strategies can be. Caltrans should provide more technical assistance to recipients on how to most efficiently and effectively conduct outreach in the approved time frame;
 9. Caltrans should consider creation of a GIS data base which maps all projects and which is available on-line to potential grant applicants.

8.2.5 Grant Project Implementation

ICF provided six recommendations on how to assist in moving projects beyond the study phase to the next steps in the project development process, including feasibility studies and the beginnings of the environmental review phase. This assistance should include incorporation of study results in the appropriate regional or area transportation plans as a means of garnering support for further project development. These recommendations included:

1. Caltrans should develop a guidebook that would show grant recipients how to mesh their local planning efforts with Caltrans planning and programming efforts. This guidebook could provide localities with examples of how to accomplish this important step;

-
2. Caltrans should require grant applicants to include project implementation strategies in their applications for these grants as well as in final reports on the completed planning study. This could assist in identifying potential community resources which may be available to move studies to the next project development phases;
 3. Caltrans should expedite local efforts to obtain permits, such as those pertaining to right of way which are needed to advance projects in a timely manner;
 4. Caltrans should assist grant recipients accessing available transportation funding, either through the State Transportation Improvement Program (STIP) or via other available funding sources;
 5. Caltrans should become a more consistent advocate among local stakeholders in order to help build greater buy-in for proposed projects. Such advocacy could build greater support at the local level and within Caltrans on the importance of advancing good projects;
 6. Caltrans should provide clear guidance on how project stakeholders can best advance a project derived from a completed study.

Taken as a whole, the ICF recommendations covered a broad range of areas, from grand administration to project development to implementation. These numerous recommendations, while comprehensive and detailed, also called for a substantial increase in Caltrans' effort to support these grant programs.

8.2.6 Building upon the 2009 Study


Several of the recommendations in the ICF study have been implemented. However, there are others that have yet to be addressed. Our approach sought to build upon rather than duplicate the work conducted by ICF in 2009. Specifically, our analysis concentrated on programmatic elements of these grant programs, rather than program administration which was a significant focus of the earlier evaluation. We also focused on more recent and current data and information in order to determine whether the programmatic findings from the ICF report are also evident in the most recent planning studies. In addition, we focused our evaluation on determining whether these grants are achieving the goals which Caltrans has established. We also assessed whether these programs are meeting the unique transportation and community planning needs that are not being met through other federal and state programs.

8.3 Appendix 3: Survey Instrument

The image below is a sample of the online survey instrument used by Blue Sky Consulting Group in November and December 2014 to survey CBTP/EJ grantees from FY 2006/07 – FY 2011/12. This sample appears slightly different from the survey received by the grantees. When grantees received the survey, the Project Characteristics were filled in, although respondents could update the fields if needed, and none of the radio buttons were selected. This document split each webpage across multiple pages.

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caltrans-survey.org/index.php?dv=c1s5Sk



Caltrans Planning Grantee Survey

Introduction

Caltrans is currently conducting an evaluation of its planning grant programs. The purpose of this evaluation is to identify ways in which Caltrans can strengthen its planning grant programs in the future.

The grant program evaluation and this survey are being conducted by the Blue Sky Consulting Group. Please note that individual survey responses are **CONFIDENTIAL** and will only be seen by the Blue Sky Consulting Group. The final evaluation report will draw on these surveys while **not** identifying individual responses.

This survey should take just a few minutes to complete. The questions are organized in 4 parts: Application, Planning Project, Implementation, and Importance of planning grant programs.

If you have any questions about this survey, please contact Katrina Connolly at 510.654.6100 extension 204 or via email at kconnolly@emailbluesky.com.

If you have any questions about the Caltrans planning grants or this evaluation project generally, please contact Alyssa Begley at 916.651.6882 or via email at alyssa.begley@dot.ca.gov.

If you do not have sufficient information with which to answer the questions in this survey, please forward this survey to the appropriate person. Thank you for your time and effort.

Project Characteristics

The questions in this survey pertain to:

If you received multiple awards, you may receive a copy of the survey for other projects. We ask that you fill out the survey for each project.

Name of person completing survey:

Contact email for person completing survey:

Caltrans Planning Gr

caltrans-survey.org/index.php?dv=c1s5Sk

Part 1: Grant Application

1. How did you learn about this Caltrans planning grant opportunity? Please check all that apply.

☐ Email from Caltrans
☐ Email from MPO or RTPA
☐ Caltrans staff member
☐ Colleague
☐ Caltrans website
☐ Other (please identify:)

2. During the 5 year period prior to receiving this grant award, had your organization received a grant award for transportation planning from Caltrans or another entity?

☒ Yes
 ☐ No
 ☐ Do not know

3. Were alternative sources of funding for transportation planning other than the Caltrans planning grant program available to fund this planning effort?

☐ Yes
 ☒ No

If so, please list the other sources:

4. Please indicate the extent to which you agree or disagree with the following statements:

	Strongly Disagree → Strongly Agree				
	1	2	3	4	5
I could have used more help from Caltrans during the application process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
I could have used more help from a consultant or another outside expert during the application process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Identifying funding sources for transportation planning is a significant challenge.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

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Part 2: Caltrans-Funded Planning Project

Please note: Throughout this survey, the word “plan” refers to the final product that resulted from the planning effort undertaken with the Caltrans planning grant award.

5. Please indicate the extent to which you agree or disagree with the following statements:

	Strongly Disagree → Strongly Agree					N/A
	1	2	3	4	5	
Caltrans staff provided helpful expertise and guidance during the planning process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Caltrans staff assisted with identifying contacts within Caltrans or other organizations that were helpful in completing the plan.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Part of the grant-funded work included identifying funding sources for next steps.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
The planning work laid the foundation for next steps in the project.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Participating in the Caltrans planning grant program enhanced our organization’s capacity to do transportation planning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
The grant award helped to engage the public in transportation planning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
The planning process was successful.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

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Part 3: Implementation

6. Which of the following was the *primary* goal of the planning effort:

- ☒ Capital construction improvements
- ☐ Operational improvements
- ☐ Other (please describe:).

7. How successful have you been in implementing the goals of your planning effort?

- ☒ Most or all of the recommendations have been implemented (or funding has been secured for implementation).
- ☐ Some of the recommendations have been implemented (or funding has been secured for implementation).
- ☐ None of the recommendations have been implemented.
- ☐ Other (please explain:).

If you would like to go back to the first page of the survey, [click here](#).

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Part 3 (continued): Caltrans-Funded Planning Project

8. Please list the funding source(s) used or secured to implement the project:

9. Please indicate the extent to which the following were important for successful implementation (or securing funding for implementation):

	Not Important → Very Important					
	1	2	3	4	5	N/A
Assistance offered by Caltrans staff during the course of the planning process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
The community engagement effort undertaken during the planning process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Agreement among stakeholders or tribal members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Active support from local community organizations or community leaders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Active support from local elected officials	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Committed staff at my department/agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Availability of local funding sources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Availability of external funding sources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
My and/or my colleagues' professional network	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Coordination or partnership with another agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
The city, county, transit, or regional planning authority or Tribal Council considered this plan to be a priority	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

Caltrans Planning Gr x

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10. Please list any additional factors that contributed to successful implementation of the project here:

11. Please indicate the extent to which the following delayed or prevented you from accomplishing the project goals:

	Not Important → Very Important					N/A
	1	2	3	4	5	
Conflicting interests among stakeholders or tribal members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of a strong community interest group or leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of support from elected officials	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Implementation of other higher priorities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Caltrans staff turnover	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Staff turnover at my organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of internal staff expertise	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of available local funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of available external funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of funding for predesign documents	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Lack of funding for construction/implementation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Conflicts with or lack of assistance from Caltrans staff members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Implementation involves multiple jurisdictions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

12. Please list any additional factors that delayed or prevented you from accomplishing the project goals:

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Part 4: Importance of the Caltrans planning grant program

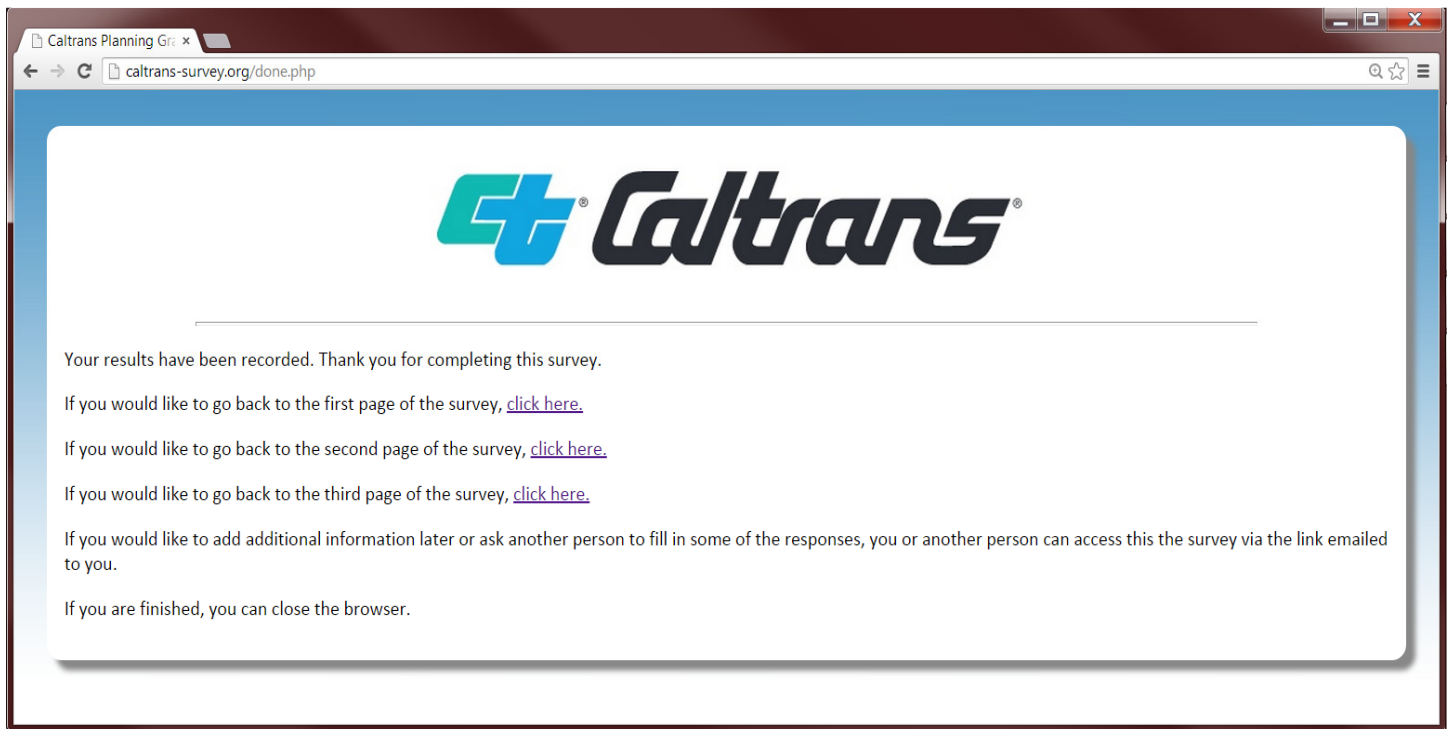
13. Please describe the value to the community of the plan you prepared:

14. Please provide any additional comments or recommendations for improving Caltrans planning grant programs going forward:

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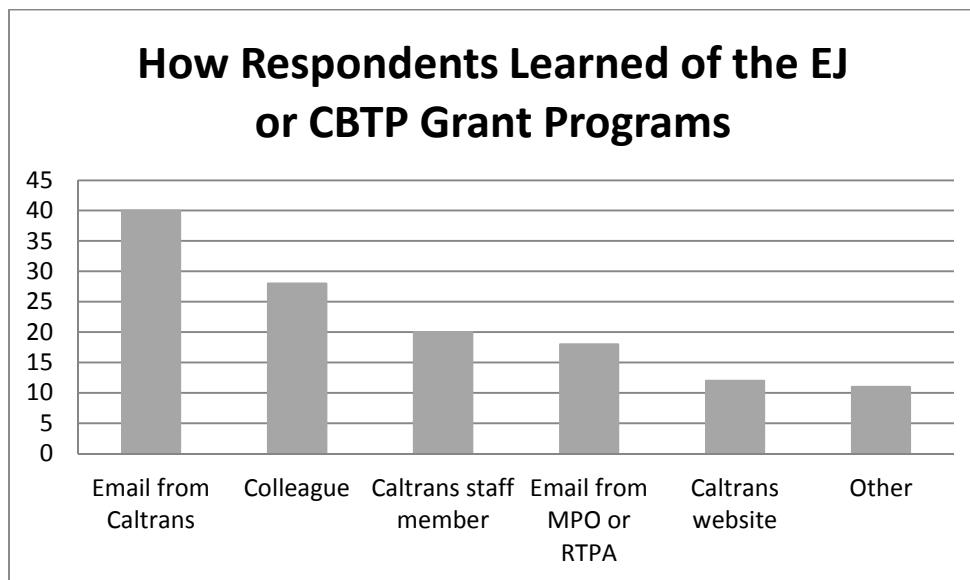
If you would like to go back to the second page of the survey, [click here](#).



8.4 Appendix 4: Data Analysis of Survey Responses

1. How did you learn about this Caltrans planning grant opportunity? Please check all that apply.

	Email from Caltrans	Colleague	Caltrans staff member	Email from MPO or RTPA	Caltrans website	Other	Number of Respondents
Number of Responses	40	28	20	18	12	11	82



Some respondents learned of the EJ and CBTP grants from other sources that they identified in comments:

- Native American Advisory Committee
- Local Government Commission
- Rural County Task Force
- Grant Consultant

2. During the 5 year period prior to receiving this grant award, had your organization received a grant award for transportation planning from Caltrans or another entity?

	Yes	No	Do Not Know	Number of Respondents
Number	42	22	17	81
Percent of Total	52%	27%	21%	
Percent of Total Excluding "Do Not Know"	66%	34%		

3. Were alternative sources of funding for transportation planning other than the Caltrans planning grant program available to fund this planning effort?

	Yes	No	Number of Respondents
Number	11	70	81
Percent	14%	86%	

4. Please indicate the extent to which you agree or disagree with the following statements:

1 = Strongly Disagree and 5 = Strong Agree

	Average Score	Number of Respondents
I could have used more help from Caltrans during the application process.	2.4	81
I could have used more help from a consultant or another outside expert during the application process.	2.4	81
Identifying funding sources for transportation planning is a significant challenge.	3.7	81

- Twenty respondents agreed with the first or the second prompt. Therefore, 1 in 4 respondents (25 percent) wanted more technical assistance during the application process.

5. Please indicate the extent to which you agree or disagree with the following statements:

1 = Strongly Disagree and 5 = Strong Agree

	Average Score	Number NA's	Number of Respondents
Caltrans staff provided helpful expertise and guidance during the planning process.	3.5	6	81
Caltrans staff assisted with identifying contacts within Caltrans or other organizations that were helpful in completing the plan.	3.3	10	81
Part of the grant-funded work included identifying funding sources for next steps.	3.6	4	81

The planning work laid the foundation for next steps in the project.	4.4	1	79
Participating in the Caltrans planning grant program enhanced our organization's capacity to do transportation planning.	4.2	0	80
The grant award helped to engage the public in transportation planning.	4.4	0	81
The planning process was successful.	4.4	1	81

- 58 percent of respondents (excluding NA responses) identified funding sources for next steps as part of the grant-funded work.

6. Which of the following was the primary goal of the planning effort:

	Capital	Operational	Other	Number of Respondents
Number	57	13	11	81
Percent	70%	16%	14%	

Note: Initially, 37 respondents categorized their plan as "Other" or did not categorize their plan. Based on these respondents' written comments and a review of their plans, we re-categorized 25 plans as primarily addressing capital improvements and 4 plans as primarily addressing operational improvements. The remaining 11 plans remained as "other."

7. How successful have you been in implementing the goals of your planning effort?

	Most or All	Some	None	Other	Total	Most or All and Some
Number	21	37	14	9	81	58
Percent	26%	46%	17%	11%	100%	17%

Note: Based on comments, 4 responses were changed from "Other" to "None."

- Respondents who selected "Other" elaborated on the project's status in comments. All but one of these projects had progressed to next steps such as design and environmental phases, had secured funding for those phases, or had adopted the recommendations in the Community Plan. The remaining project was continuing the planning phase.
- Those who made no progress in implementing their plans identified multiple factors as preventing or delaying their projects. Funding was the primary issue. The 14 grantees scored the following factors highest in terms of strongly agreeing that these factors delayed or prevented implementation of their goals:

- Lack of funding for construction/implementation (11 of the 14 grantees who made no progress);
- Lack of available local funding (11 grantees)
- Lack of external funding (10 grantees)
- The jurisdiction implemented other higher priorities (5 grantees)
- Lack of predesign documents (5 grantees)
- Conflicting interests among stakeholders (4 grantees)
- Implementation involves multiple jurisdictions (2 grantees)
- Lack of internal staff expertise (2 grantees)
- Staff turnover at the grantee organization (1 grantee)
- Lack of support from elected officials (1 grantee)
- In additional comments, 2 grantees explained that Caltrans design standards, or a need for design exceptions, delayed or prevented their progress

8. Please list the funding source(s) used or secured to implement the project:

Respondents' Comments
Implementation of the plan is funded through private development fees.
Still in process. [REDACTED] intends to prepare preliminary design and engineering, as well as environmental documentation.
LTF, Prop 1B (CalEMA) and FTA 5311F as appropriate.
Caltrans Statewide Active Transportation Plan grant program, Measure B and other local sources.
Call for projects, HSIP, and ATP.
CMAQ.
CALTRANS ATP Grant (Safe Routes to School).
This was a pass through grant intended to develop institutional capacity of the RTA to become a TMA. The business plan is in place; they need to implement it.
Safe Routes To School (State), MCOG TDA Funds.
Measure BB funding to do bikeway improvements that were also identified as part of the Bicycle Master Plan.
RDA, SACOG Community Design Funds (\$3m), Road Impact Fees.
Redevelopment Funding and the City's General Plan funds as well as a State of CA SGC grant for environmental work.
Federal CMAQ funds.
Local transportation sales tax (Prop K), Regional funds - Lifeline Transportation Program.
Caltrans funding and Tribal General Funds.
Other than Caltrans, offices of [REDACTED] county supervisor [REDACTED] and [REDACTED]. In kind staffing and technical support from many public agencies.
\$1,000,000 planning grant to update the community plan where the goals and policies/recommendations developed as part of the master plan have been folded in.

Environmental Justice Funds, [REDACTED] (local Tribal funds).
The project was to create an educational program on road safety for tribes. Objective accomplished.
Additional Caltrans funds.
Monterey Bay Unified Air Pollution District, Transportation Authority of Monterey County, Caltrans.
State ATP.
State Bicycle Transportation Account (BTA), MCOG's Local Transportation Funds 2% Bike & [Pedestrian]
Caltrans.
Confusing question: this grant was used to implement the planning project, but we don't have funds to actually implement the planned improvements themselves. We need more local, regional, state, and federal funding to build the stuff we're planning.
General fund, CIP, ATP, AB 2766.
Caltrans.
EPA, BCI, ATP, LWCF, Habitat Conservation Fund, Housing Related Parks Grant, Urban Greening.
Other grants from state and regional agencies. Off-site improvements from private developments.
Federal Highway Administration: Tribal Transportation Program (TTP) Annual Apportionment, TTP Safety Program Funding, Caltrans – STIP.
Traffic Safety Education Fund.
Citizen contributions/matching county funds.
General Fund.
MTC Lifeline Transportation Funds, CMAQ and STP.
CMAQ, Prop 1B transit.
Caltrans \$90,000 with matching funds from the City of \$10,000 for a total of \$100,000.
Prop 84 - California River Parkways, L.A. County Measure R.
Private Property Owner Funding, HBP, HSIP, CMAQ.
Confusing question: this grant was used to implement the planning project, but we don't have funds to actually implement the planned improvements themselves. We need more local, regional, state, and federal funding to build the stuff we're planning.
RTP money.
Active Transportation Program grant; Federal Appropriation.
Caltrans ATP grant funds, Prop A TransNet funds
-Partnership with USFS--Our Trails Master Plan set up funding through agreement from FS to the Tribe for a Youth Conservation Corps Crew this past summer.
Rural Planning Assistance (RPA) and Local Transportation Funds (LTF).
Prop AA (local funds), One Bay Area Grant (OBAG, federal funds).
Caltrans grant funds, Local Match funds
General Fund.
Caltrans maintenance, community volunteer efforts, County maintenance, and planning assistance via RPA. Pursuing further grants (ATP) to continue implementation.

The grant funded the full project - no additional funding sources were needed besides our local funding for the grant match.
Conditions of approval on private development.
General fund.
The Plan is currently under environmental review, which is being funded by the city and grants from MTC.

Notes: To protect anonymity, Blue Sky redacted identifying information in the responses and randomized the order of the responses by preventing a reader from matching these comments to comments from other questions below. Only respondents who selected “Most or All” or “Some” in response to question 7 were asked this question. Of those, 4 respondents did not answer. Twenty-six respondents were not asked this question.

9. Please indicate the extent to which the following were important for successful implementation (or securing funding for implementation):

1 = Strongly Disagree and 5 = Strong Agree

	Average Score	Number of NA's	Number of NULL	Total Respondents
Assistance offered by Caltrans staff during the course of the planning process	3.1	2	26	56
The community engagement effort undertaken during the planning process	4.3	1	26	56
Agreement among stakeholders or tribal members	4.3	5	26	56
Active support from local community organizations or community leaders	4.4	0	26	56
Active support from local elected officials	4.4	2	26	56
Committed staff at my department/agency	4.7	0	26	56
Availability of local funding sources	4.1	5	26	56
Availability of external funding sources	4.6	4	28	54
My and/or my colleagues' professional network	3.8	1	26	56
Coordination or partnership with another agency	4.3	3	27	55

The city, county, transit, or regional planning authority or Tribal Council considered this plan to be a priority	4.2	2	27	55
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Note: Only respondents who selected “Most or All” or “Some” in response to question 7 were asked to respond to this question.

10. Please list any additional factors that contributed to successful implementation of the project here:

Respondents’ Comments
The very important stuff under #9 couldn’t have been pulled off w/out skilled RTPA staff. More training, capacity building, successful case-studies, & best practices need to be a part of the program. Use us to help you. [REDACTED]
Caltrans District 2 Planning and Ed Philpot of HQ.
The project was successful in developing the business plan and undertaking the commuter surveys for six Tribes; the RTA needs to follow through. SANDAG has supported those Tribes still interested in commuter programs.
Community support; - Framework provided through SMART Foundation planning effort
Quality and need of the end project the planning effort was supporting
Mayor was very committed to project. She actually personally prepared SR2S application with help from MCOG.
[REDACTED] and [REDACTED] projects currently under way and actively seeking funding. This is a medium-range project that has not yet been completed.
We were able to competitively bid and get the appropriate contractor for the project, and staff was 100% dedicated to full implementation.
This grant helped bridge a gap in planning resources between starting-from-scratch community-based transportation needs and concept identification, to defining and costing a specific, design-ready project.
Support from non-profit organization and local church.
Available applicable funding sources and willing project sponsors.
This product has provided a structure for working with other external agencies.
The planning process was instrumental in achieving widespread support among stakeholders and neighborhood residents for an ambitious project in [REDACTED].
This Plan was a priority project of the City, before MCOG sought grant funding.
Significant one on one community outreach and community support.
This was a pass-through grant to [REDACTED]. Excellent staff work by that organization was the key to success.
Inter-department coordination (Planning & Engineering). The states complete streets policy.
The original Caltrans staff member that assisted with this project totally understood the vision of the project and was very helpful.
Working together with [REDACTED] County Association of Governments.
The property owners are dedicated to making the area a vibrant and successful part of the community. Our area is fortunate to have the ability to obtain CMAQ funds.

The very important stuff under #9 couldn't have been pulled off w/out skilled RTPA staff. More training, capacity building, successful case-studies, & best practices; need to be a part of the program. Use us to help you. [REDACTED]

Enlightened district engineer and planner with can-do attitude, facilitated striping plan on maintenance project that implemented major components of plan.

The consultant who completed the plan had a lot of RURAL transit experience, which was very important to the success plan implementation. The budget was workable for a small agency.

[REDACTED] is dedicated to supporting Tribes through the TTAP program. This effort supported that program.

The economy is booming and construction is happening, which makes planning a city priority.

Notes: To protect anonymity, Blue Sky redacted identifying information in the responses and randomized the order of the responses. Only respondents who selected "Most or All" or "Some" in response to question 7 were asked to respond to this question. Of those, 31 respondents did not answer this question. Twenty-six respondents were not asked this question. Some respondents filled out multiple surveys, one for each planning project they conducted. Some of these respondents entered identical comments for their multiple projects.

11. Please indicate the extent to which the following delayed or prevented you from accomplishing the project goals:

1 = Strongly Disagree and 5 = Strong Agree

	Average Score	Number of NA's	Number of NULL's	Total Respondents
Conflicting interests among stakeholders or tribal members	2.9	18	4	78
Lack of a strong community interest group or leadership	2.0	22	3	79
Lack of support from elected officials	2.2	24	3	79
Implementation of other higher priorities	3.1	14	3	79
Caltrans staff turnover	1.9	26	3	79
Staff turnover at my organization	2.1	17	5	77
Lack of internal staff expertise	2.0	18	3	79
Lack of available local funding	3.6	10	3	79
Lack of available external funding	3.6	12	4	78
Lack of funding for predesign documents	3.4	19	4	78
Lack of funding for construction/implementation	4.1	21	5	77

Conflicts with or lack of assistance from Caltrans staff members	1.9	23	3	79
Implementation involves multiple jurisdictions	2.8	22	3	79

12. Please list any additional factors that delayed or prevented you from accomplishing the project goals:

Respondents' Comments
Relatively successful. CT was not involved except for reporting and contract administration of the grant. Biggest difficulties were with implementing partner staff and consultant turnover and budget overruns.
None.
We haven't been delayed. The overall project has been divided into four phases. The [REDACTED] Phase has just started. It will result in plans, permits and specifications in 2016.
We actually proceeded with project much sooner than though because of SR25 grant
The number 1 challenge is the need for funding for design and construction of improvements.
Inconsistency of direction and policy advice between Caltrans headquarters staff and local Caltrans staff. Staff turnover at both state and local levels.
Project goal was to complete the feasibility study. The study was to inform policymakers of the possibilities and challenges of an eventual project, but not to construct a project itself.
Only those stated above. We finished pretty much on schedule. There was a contract amendment to complete the plan and we had to ask Council for more funds.
Project required coordination with the [REDACTED] Railroad Authority, which was slow.
Rail is not yet the region's top priority.
None
The initial contracting process with Caltrans. The MPO that should have taken this as a pass through didn't want to. So delays in getting the initial grant documents in place.
Competing priorities & limited staffing resources at the local level. We need more RPA funding if we're ever going to sustain the planning & new performance measures the State wants - some of us are 3 - 4 person organizations!
None. We are moving forward.
Staff turnover created the first major delay to this project. The second major delay was created by the inclusion of an implementation/financing strategy in our plan. This required significant involvement and approval from nearly every city department.
Major goal of slowing traffic and beginning revitalizing main street was accomplished, but much more work ahead to achieve ultimate project goal.
The political pressures from elected officials and some local landowners were more extensive than we imagined.
Planning exercise just completed. It will take additional time to implement project goals

Lack of institutional capacity at the RTA. The Tribes involved were excited and interested. The RTA needs staff with the professional capacity to undertake this effort.
Tribal Priority Planning and setting forth Goals that accomplished those in order.
A referendum and public vote to overturn the [REDACTED] Community Plan update.
Our biggest challenge was the size of project area that is the [REDACTED] Territory which trickled down to jurisdiction challenges but was made easier with this product. Helped us partner.
Biggest delay factor has been coordination among PG&E and utility providers in undergrounding the utilities using Rule 20A funds. But that phase is now complete and the next step will be to construct the streetscape project.
Economic situation.
We didn't have \$/scope for environmental review needed for the Plan to be adopted by City Council. We'd also need additional \$ to do design work to progress to 35% construction drawings that are the typical pre-requirements for capital grants.
Funding is the biggest obstacle. However, some of the more minor improvements were prevented due to Caltrans design standards.
The city of [REDACTED] has limited funding opportunities to implement all elements proposed in the Corridor. A bridge project along the Corridor is currently being designed, consistent with the recommendations in the plan.
Consultant did not customize the plan enough. Cookie Cutter diagrams were confusing to very rural community.
We accomplished our goals with [REDACTED]. It was a great project for downtown revitalization efforts, but it was a building block - we still have many hurdles and challenges in the downtown area. But [REDACTED] offered us the means and method to prove there was sufficient parking in the downtown which continues to be a perspective issue for patrons.
Need design exceptions in order to implement the community priorities on [REDACTED]. Originally, community was very divided on plan but eventually achieve consensus.
Most significant was the end of Redevelopment; second was getting City departments on board for change; third continues to be [REDACTED] Rail and Caltrans State HWY [REDACTED].
Competitive Grant programs use criteria biased in favor of urban areas. Existing Caltrans funding programs do not support complete street design and construction.
There were no delays with this plan or implementation.
All Tribal Funds were obligated and expended on the Reconstruction of the [REDACTED]. Lack of information on the availability of additional funding through Caltrans to implement steps or project goals defined in Comprehensive Plan.
Competing priorities & limited staffing resources at the local level. We need more RPA funding if we're ever going to sustain the planning & new performance measures the State wants - some of us are 3 - 4 person organizations!
None.
This is an ongoing planning process. Resources for implementation is an issue.
Accomplished our goals.

Notes: Blue Sky randomized the order of the responses and redacted identifying information to protect anonymity. Forty-two respondents did not answer this question. Two additional respondents left the survey incomplete. Some respondents filled out multiple surveys, one for each planning project the conducted. Some of these respondents entered identical comments for their multiple projects.

13. Please describe the value to the community of the plan you prepared:

Respondents' Comments
The plan helped provided the educational resources to help reduce traffic related fatalities and injuries in a very dense areas located near schools and other activity centers
It proved to be of very high value to the community. Most of the improvements were delivered much quicker than thought possible. This included sidewalks, bike lanes and crosswalk improvements.
██████████ offered several components to the downtown revitalization efforts: 1. Marketing and branding of implementing Walk it. Park it. Ride it.; now with our bus transfer terminal located in the downtown, transportation access is affordable and easy. 2. People understood the importance of walking in the downtown - not just driving through. Parking availability was proven and justified and marketed. 3. The level of investment from Caltrans with ██████████ was well worth the return. Transportation surveys, pedestrian surveys, stakeholder meetings and input were invaluable to the process ██████████ also modeled what we could do with other programs in other areas of the city - such as ██████████ and now we are collaborating with the ██████████ to create a county wide effort in public health which all came from the creative efforts of ██████████.
Provided key external resources to take community-based needs and translate them into a specific, design-ready project. Resources focused on improvements in one of the most dangerous parts of the city for pedestrians & a Community of Concern.
The planning grant allowed a detailed, community focused land use and mobility plan that is a resource multiplier to the work of the community plan.
Additional support for strategies to apply for Lifeline Transportation funding outside of MTC Communities of concern defined areas.
Project was of great value to community. Phase 1 of the Rail Trail is currently under construction.
These projects have been essential to implementing priorities for the city.
The plan will provide a multimodal system of transportation that will improve the quality of life by reducing air emissions and congestion.
Our plan has provided the basis for Phase II and III of the ██████████ a greenway along the ██████████ for pedestrians and cyclists with potential bridges over ██████████.
Provide for transportation improvements to highly traveled street and enhanced pedestrian and vehicle opportunities.
Plan valued by the community. Community closely involved in the planning effort and were invested in the outcomes and helped to advocate for funding.

Built awareness in the community of the project, engaged supporters, identified issues to study further.
There is a strong advocacy for projects like these, with less understanding of the drawbacks, costs, and challenges. This study is valuable for interested parties to learn more of the details involved in such a project to consider feasibility early on.
Very Important, as it identified an issue talked about and discussed for 9 years and made it a reality to move forward with clear steps if the Tribe good find willingness to prioritize.
Clear vision for the Downtown.
Very valuable; used in developing a Specific Plan.
It aided us in obtaining current data necessary in order to make decisions about prioritization of future programs and projects.
Will provide health benefits by promoting walking, biking and reduced travel speeds & emissions.
The plan allowed us to methodically bring the community along the journey of why we're doing the project, [its] purpose, and meaningfully involving them in the outcome. This would not be possible otherwise if planning funds were not available.
Being able to prepare and complete the planning grant enable the City to accurately determine the scope of work and funding needed to complete the project.
The plan was extremely important in engaging the local communities and implementing some very needed projects. This grant was a game changer for us!
The Plan was excellent, the community was supportive, [and] unfortunately the political will was not present. Involving the community did teach all of us so much.
Will eventually lead to better connectivity of our entire region bringing the four Cities involved closer, strengthening the region.
It's an extremely important document as has been utilized in numerous projects and is the guiding document for pedestrian improvements.
The community will improve mobility, livability, safety and economic success.
The Tribes were very interested in the effort, but the RTA has no follow through.
Helped to define opportunities/constraints for local community to improve access and internal movements.
This project has been a key to on-going engagement by community members in local and regional planning issues.
It actually took two cycles of community grants to get where we need to be. The first identified issues and constraints, the second worked out the big issues to achieve consensus.
Extremely important to initial planning, raising public awareness, identifying amount of funding needed.
This plan has been instrumental in directing priorities securing funding.
This Plan has provided the Tribe with a framework to build a comprehensive community it is an extremely important and effective tool.
This was a critical exercise for the community to look at a key transportation challenge and bring all points of view together and develop a comprehensive strategy to address the issues involved

The product coalesced community support for a range of projects within the [REDACTED] Corridor in [REDACTED] County.
We anticipate that the tremendous growth in [REDACTED] will continue. This planning effort is incredibly important in supporting the existing community and the jobs and housing that will be coming. The plan ensures a balanced approach to increase density by improving non-auto mode share and adding public amenities such as parks.
The plan prepared provided improved mobility connections within and between communities and identified improved non-motorized access to the [REDACTED] stations within the study area.
The educational program designed by [REDACTED] for road safety audits will be very helpful to Tribes in CA especially those who have limited resources and are in rural areas that are safety risks. Funding available once they do their audits.
The community was very interested in how the corridor would develop in the future. It was important for them to have their voices heard. Improvements/widening of the bridge on the corridor was a significant discussion point - the plan provides direction
The plan highlighted needed improvements an under-resourced area of the community. Without designated funding, we wouldn't have been able to plan then secure funding to implement.
Provides ways for community improvements that are not solely contingent on availability of public funds.
Highly valuable in ensuring a high level of engagement in the planning of a significant street.
Extremely valuable.
The plan resulted in well-developed conceptual design and transportation plans for several key streets in [REDACTED], all of which are moving forward in varying degrees.
The plan was very valuable. It gave the community, elected officials and other stakeholders an opportunity to establish a long-term vision. As funding is available, the plan will be incrementally implemented.
Read my application and resulting product, both of which Caltrans has. This stuff should be made available on line so it's readily available to anyone who's interested. Please make this a program improvement, per my successful case studies comment above.
The plan provides a roadmap for the community to use in improving the livability of their community in the next 20 years.
I think the plan was successful because of the significant community participation. Without the charrette process, the Plan we developed would not be so valued. The entire community is looking forward to its implementation.
[REDACTED] needed a plan to revitalize [its] main transportation corridor. The plan was very important to help the community in accomplishing goals to have better on-site and street designs to improve [REDACTED] for residents and attracting visitors.
The transit community and stakeholders better understand the transit system and how it works, which has made it more accessible for many riders-giving access to basic needs.
Planning effort allowed the Community to work with the design team and elected officials to identify areas of concern and develop solutions. The Plan provided the framework for applying for capital grants to fund construction of the projects.

State Route ■ is a 6-lane highway that effectively splits our community in half. It is very pedestrian, bicycle and business unfriendly and, per Caltrans design standards, is mostly concrete and auto-related uses. This plan, if implemented, would dramatically change all of that and actually improve traffic through the corridor.
Pedestrian and bicycle safety were and still are very important issues to the community. It is a shame that many of the projects in the Plan cannot be moved further along because of the lack of funding to do the required environmental review.
This community plan provided the framework for re-designing two existing transit routes and implementing a new route serving new areas that had not been served before.
Very important - will help build a very needed bike/pedestrian connections that cannot be funded otherwise and is very dangerous
Identified priorities within tribal organization and lack of knowledge in importance of transportation planning for the community.
The pedestrian plan was extremely valuable for funding for future projects as well as for our elected officials when project come before them and they have been identified as priority projects in our pedestrian plan it encourages support and guidance.
Read my application and resulting product, both of which Caltrans has. This stuff should be made available on line so it's readily available to anyone who's interested. Please make this a program improvement, per my successful case studies comment above.
The plan set the stage for extending the path into the County. We are now working with the County to identify the location where the two paths will connect.
The community was very involved and greatly appreciated the effort. The plan was not adopted by the County, although that was the intent, mainly because the plan included roundabouts. Roundabouts are too much of an unknown an idea for this area.
Incredible, really helped bring the community together- and the plan continues to be a City Council priority despite obstacles.
The plan lays out a community-supported vision for the implementation of projects on the corridor. Design and construction of future improvements should be streamlined because of the foundation laid by this plan. The plan helps to support funding apps.
The value was very empowering especially the opportunity to use trails in fire suppression and renewal of basket making materials.
This plan has [led] to significant transportation improvements on SR ■ in ■ funded multiple funding sources which completed 2 phases of the project. The 3rd phase is programmed in the RTIP. ■ County was also award CDBG funds for more work.
High value to reduce issues associated with collocation and promote a multimodal environment.
The plans will significantly shape the future of the ■ and ■ areas, bringing more jobs and amenities closer to more people and do so with an emphasis on a sustainable, multimodal transportation approach.
The Plan provided a blue print or outline of the important issues or concerns of parents and school officials leading to future improvements that can or will be made over the course of time.

The plan and planning process unified the community in support of traffic calming and main street revitalization efforts.
It successfully articulated a vision for an important facility and identified the challenges that must be resolved to implement. Now we know what we need to do to make it happen.
Improving the Highway ■■■ corridor through ■■■■ is our City Council's top priority.
Our plan has been instrumental in influencing the way ■■■■ is growing and developing and has played a key role in helping our community do smart growth. This project affects nearly every development, and every project, in a positive manner.
The community is very excited to have safer routes of travel for pedestrians, cyclists and cars.

Notes: Blue Sky randomized the order of the responses and redacted identifying information to protect anonymity. Eight respondents did not answer this question. Two additional respondents did not complete the survey.

14. Please provide any additional comments or recommendations for improving Caltrans planning grant programs going forward:

Respondents' Comments
I think Caltrans is doing a great job in coming out to the communities and make these funds available for transportation planning. I would suggest conducting workshops using different venues for the community and for staff about transportation planning and transportation options for a better community would help increase community interest and participation. Focus groups are other ways to reach out to different sectors of the population.
Please keep the program going. It is very helpful.
This grant, and the opportunity to do the pre-planning necessary to get the award, was extremely valuable to us. And it created a much more positive view about Caltrans in this community. CALTRANS staff not so helpful.....
Ensure Caltrans staff are involved throughout the process. Include approval of proposed projects by the various Caltrans functions, as applicable before the plan is finalized.
Making the matching fund requirement less structured because when putting the application together it was difficult to know all the different skill levels that will end up being useful. Making changes during the plan development is not easy.
Allow for more time for completion of grant projects. The deadlines required staff to move quickly on recommendations and analysis where more time would have been optimal to review and improve upon land use recommendations.
Valuable experience and helped define the project in the early stages.
Pick a regular announcement schedule and stick with it.
Link the outcomes of Caltrans planning funds to the competitive & formula process for construction funding. Why do all this planning if the Department doesn't take it into consideration when allocating funds. The SHOPP is a perfect example; no planning.
Staff could use more help from Caltrans on procurement procedures, RFP, etc. to comply with grant guidelines.

The paperwork requirements for all things Caltrans are just more burdensome than they need to be. At times we feel like we're spending as much time complying with rules as actually doing the work.
Caltrans has always been good to work with and are a great support for projects and plans in [REDACTED]. We would like to always be included in possible planning grant programs through Caltrans.
Can funding go towards environmental review?
They are great in a silo. I wish they were more of a first step in series of grants that could lead to completed project. (Fund the Traffic study, EIR, brownfield clean-up, etc...) The next steps (funding for them) if available seem [too] hard to achieve.
Understanding cultural and tribal governmental capacities to manage grants.
Good program. California needs more money dedicated to non-automobile transportation.
Excellent pre-grant workshops and very helpful staff contacts! Thank you.
The current sustainable communities grant application is a huge improvement. It provided critical stream lining and focuses on critical points (define project, justification, obstacles). Thank you so much. Also the workshop in [REDACTED] was excellent.
This was a very successful project for us, due to many positive contributing factors. Caltrans innovative and supporting staff and the skills of consultants and our supporting staff were key.
Caltrans District 1 reviewed plan and built some of the components with State funding set aside for ADA repair and retrofit.
This project was successful in developing the business plan and conducting the commuter surveys, but the institutional capacity of the RTA is a hindrance. Another tribal organization like the [REDACTED] might have been able to implement. This is still possible.
1. Maintain consistency of the cycle - keep at same time each year. 2. Eliminate match for Disadvantaged Communities.
CT was very stringent on just the application/ invoicing/ reporting process and no involvement in the actual planning process. Not sure if that was very helpful. CT HQ contract manager was much more helpful than district manager.
Great program. Thank you.
Make sure there are implementation dollars and the ability to use Caltrans resources (staff) to help identify those resources and advocate on behalf of EJ participates to insure project completion and readiness.
None.
I think there has to be a stronger implementation element in the planning grants. In other words, I don't like the idea of a planning document just sitting on a shelf. It could be some form of commitment by the local agency to implement the plan.
None.
I think Caltrans should closely scrutinize proposed project budgets. Having looked at other projects funded I don't think Caltrans funding is being stretched as far as it could be. I saw many funded projects that appeared grossly over-budgeted.

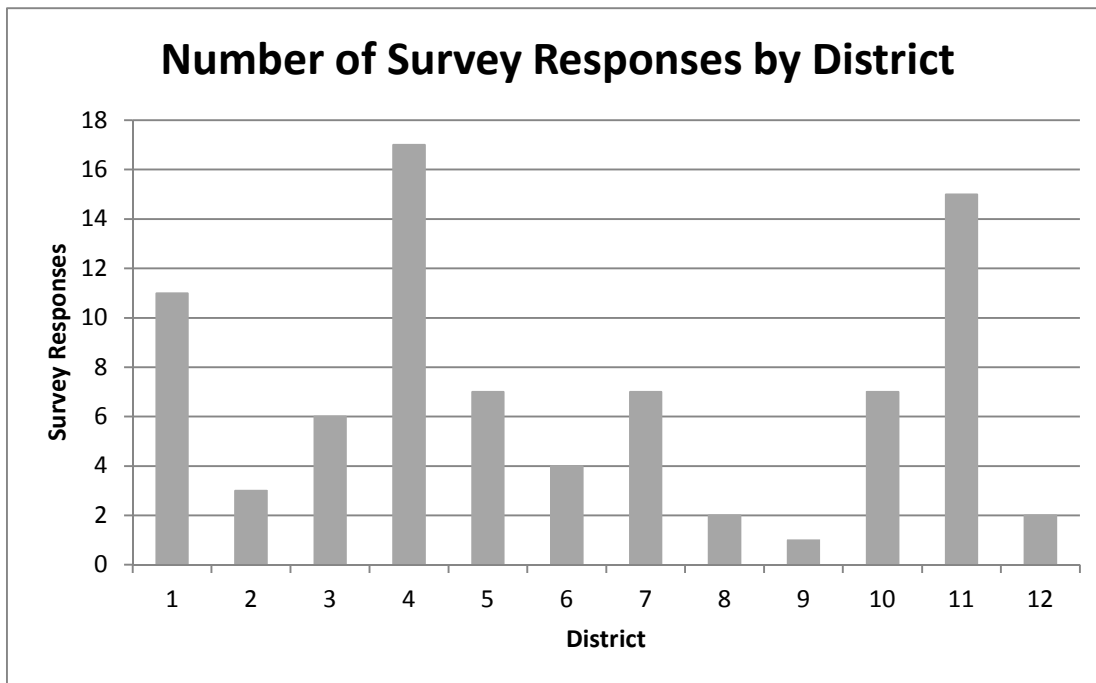
Caltrans was fine, we had a good consulting group, we just didn't realize that community support alone would not be sufficient to implement the great plans.
Ensure the submission process is clear. Stream line the reporting process and lessen cumbersome requirements.
Caltrans should provide a staff person during the City Council meeting when they consider adoption to speak on the item and indicate Caltrans support of the planning document and the importance of implementation. A Caltrans resolution would help also.
Caltrans and MPO staff have been helpful in identifying for strategy and funding to move our planning process forward.
Maintaining a focus on communities of concern is consistent with our local agency goals. Supporting 30% design work and planning would also help.
There is a disconnect between Caltrans supported planning and state administered funding programs.
The EJ and CBTP grants have been a unique and important source of funding for transportation-related planning projects for our city. The funds have supported projects in very different kinds of communities and at different scales. Being able to tailor our work to serve these communities is crucial to producing successful projects.
Caltrans could have provided more input during the plan process itself to ensure that the community understands what can or cannot be done on a state route under Caltrans' jurisdiction.
Caltrans should adopt more flexible standards for implementing innovative design solutions that actually improve traffic, circulation and public safety.
Allow flexibility in moving funds between tasks. Often projects change after grant is awarded. This shouldn't affect overall project deliverables, but having this flexibility is helpful.
Worked well, staff of Caltrans was very helpful.
The manual/guide provided for the EJ grant was good for reporting. But the billing/invoicing process should be done by total grant amount and not billed by specific task/line item. One recommendation is to invoice at a percentage basis.
No improvement needed. It appears to be a good program.
The inflexibility of funds and level of detail required by Caltrans for project tracking was especially difficult. A great deal of limited staff resources were spent on administration. Our grant manager was occasionally awkward and not easy to work with.
Very good program - increase the funding!
Simplify application and billing processes.
While this was not a problem for this particular grant, I encourage involvement by Caltrans throughout the planning process, including the approval of proposed projects by departmental functions, as applicable.
Thank you Caltrans for the funding opportunity with [REDACTED]. It truly became a sustainable program - it just went in a new direction.
The administration of this grant was challenging from a Project Management perspective.
The invoicing and payment system should be made easier.

Link the outcomes of Caltrans' planning funds to the competitive & formula process for construction funding. Why do all this planning if the Department doesn't take it into consideration when allocating funds. The SHOPP is a perfect example; no planning.
It was a pleasure working with the [REDACTED].
A quicker turnaround time from grant application award and grant implementation would make the program more effective.
Simplify the reporting as much as possible.
Caltrans process is cumbersome, especially the delineation of budget line items.
Please continue this program.
This funding is critical to our planning efforts. Without it we would not be able to make any progress. Thank you.
1. The required quarterly reporting is far too time consuming. We spent more time on this than on the grant in some months. NO other grants require this level of administrative oversight. 2. Consider using ZoomGrants.com, an online grant management system.
We had a positive experience with the Caltrans planning grant program. Caltrans staff provided valuable assistance throughout the planning process, which allowed for a successful project.
Very good program. Please keep active.
It is important to conduct more outreach to the non-profit organizations, and other local groups actively involved in the community with the highest level of fatalities to educate the residents about the importance of traffic safety

Notes: Blue Sky randomized the order of the responses and redacted identifying information to protect anonymity. Twenty respondents did not answer this question. Two additional respondents did not complete the survey.

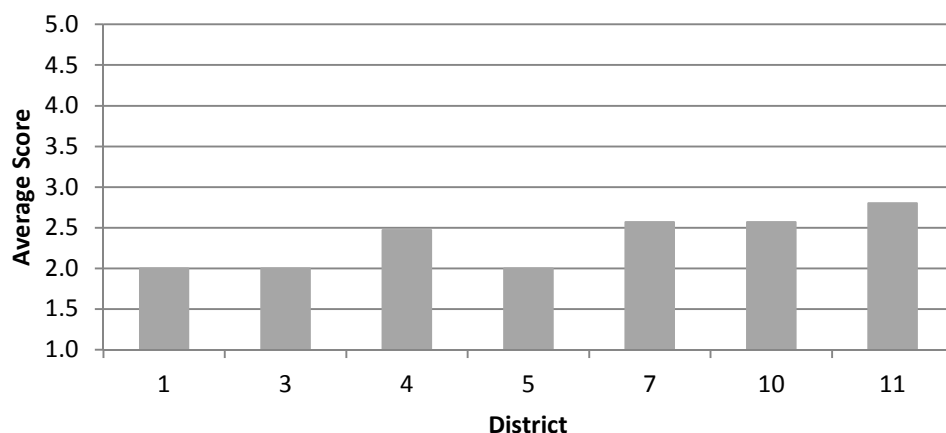
8.4.1 District Results

District	Number of Grants FY06/07 – FY11/12	Number of Grants with Contact Information FY06/07 – FY11/12	Number of Survey Responses	Percent of Contacted Grantees that Responded
1	17	14	11	65%
2	4	4	3	75%
3	25	17	6	24%
4	43	34	17	40%
5	21	19	7	33%
6	27	23	4	15%
7	29	26	7	24%
8	11	9	2	18%
9	4	4	1	25%
10	16	14	7	44%
11	27	23	15	56%
12	6	6	2	33%
Total	230	193	82	42%

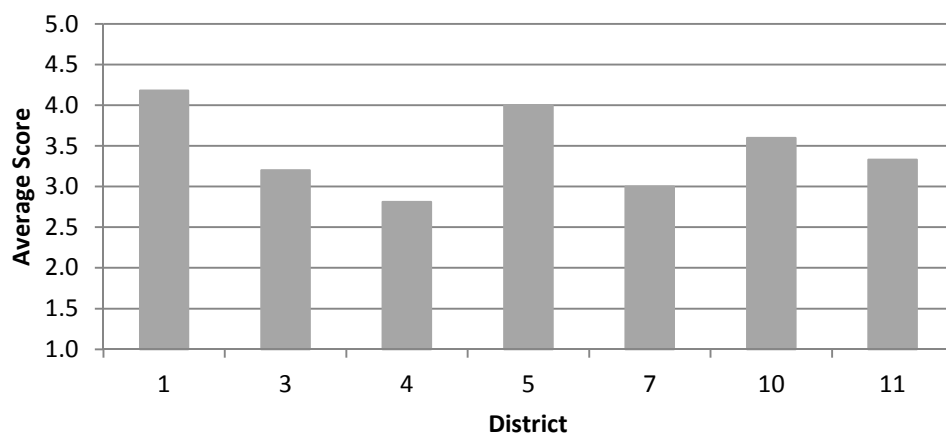


In the charts below, we report survey results for districts with more than 5 responses and at least a 20 percent response rate.

Average Responses by District to Survey Prompt:
"I could have used more help from Caltrans during the
application process."
1=Strongly Disagree and 5=Strongly Agree

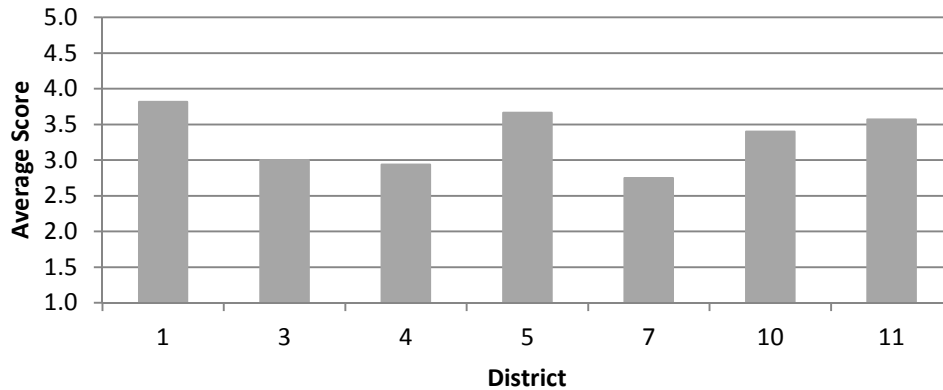


Average Responses by District to Survey Prompt:
"Caltrans staff provided helpful expertise and guidance
during the planning process."
1=Strongly Disagree and 5=Strongly Agree



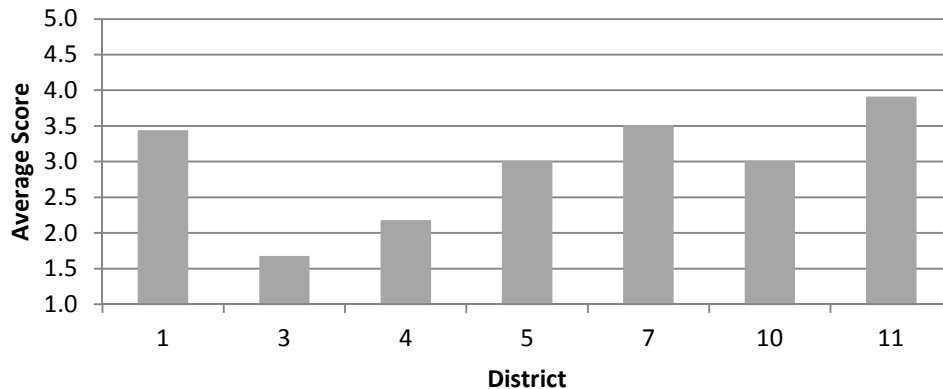
**Average Responses by District to Survey Prompt:
"Caltrans staff assisted with identifying contacts within
Caltrans or other organizations that were helpful in
completing the plan."**

1=Strongly Disagree and 5=Strongly Agree

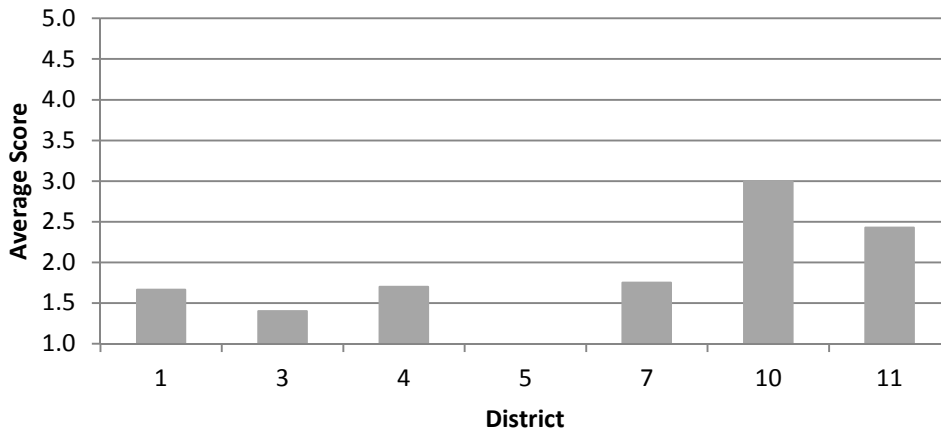


**Average Responses by District to Survey Prompt:
"Assistance offered by Caltrans staff during the course of
the planning process was important for successful
implementation."**

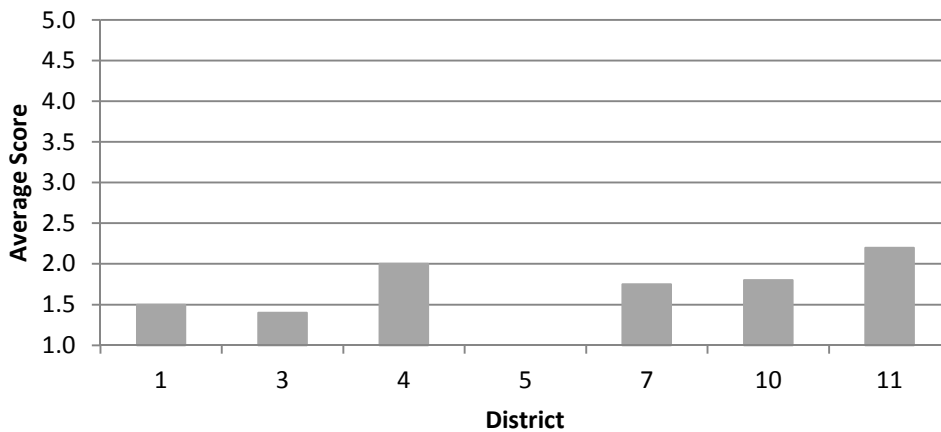
1=Strongly Disagree and 5= Strongly



Average Responses by District to Survey Prompt:
"Caltrans staff turnover delayed or prevented you from
accomplishing the project goals."
1=Strongly Disagree and 5=Strongly Agree



Average Responses by District to Prompt: "Conflicts with or
lack of assistance from Caltrans staff members delayed or
prevented you from accomplishing the project goals."
1=Strongly Disagree and 5=Strongly Agree



8.5 Appendix 5: Structured Interviews

8.5.1 Interview Guide for Structured Interviews with CBTP/EJ Grant Recipients

1. What was your role in the project?
2. How did you learn about the grant program?
3. Did you have the project idea in mind when you read the call for proposals, or did you develop one after reading it?
4. Absent this program, is there another way you could have funded this program or another funding source you could have pursued?
5. Did you experience any challenges when drafting the proposal and applying?
6. Did you experience any challenges during the process of this grant?
7. What did you think about the role the district played during the project?
8. Did your organization's experience with this grant program improve your organization's capacity for future transportation planning?
9. Which ideas from the plan, if any, have been implemented?
10. How did you implement them?
11. Why do you think the idea was successfully implemented? What are some of the things you did that you think contributed to success?
12. What obstacles did you experience when trying to implement ideas from the plan?
13. Did you need to fund any steps between the plan and implementation?
14. How did you learn about potential funding sources for next steps and implementation?
15. What funding sources did you consider for next steps and implementation?
16. (Tribes) What issues are specific to Tribal governments in receiving funds from Caltrans?

8.6 Appendix 6: Review of Existing Grant Programs

To provide a sense of the type of capital, operational, and other improvements that EJ and CBTP projects recommended, we reviewed projects awarded between FY 2006/07 through FY 2011/12. Grantees used these planning grants to: address a wide variety of mobility deficiencies, enhance safety, encourage multimodal transportation, and revitalize economically depressed areas. Most projects identified transportation deficiencies and developed conceptual designs to address them through capital or operational improvements. Examples of these projects, among many, include:

- a comprehensive city or county transportation plan;
- corridor revitalization through multimodal improvements;
- complete streets;
- pedestrian, bicycle, and/or trail improvements;
- improvements to multimodal connections and transit accessibility;
- improvements to multimodal interchanges; long-term plans for transit and city circulation;
- parking; and
- way-finding signage.

Some planning efforts addressed operational needs by improving circulation, traffic signal coordination, linking multiple transit services, reconfiguring bus routes to better address needs, and creating vanpools.

Some projects developed elements in addition to capital and/or operational improvements, such as community-wide ROW standards, trail maintenance standards, and educational campaigns to encourage multimodal use. These educational campaigns were developed to teach potential users how to rely on modes of transportation other than the automobile by disseminating information with marketing plans, traveling trainings, pamphlets/guides, and websites to target populations. Other projects focused partially or entirely on conducting an inventory of existing conditions, data collection or designing a system for ongoing data collection, a needs assessment, and/or feasibility studies.

Interviewees commented that the EJ and CBTP grant program provided a rare opportunity to develop a comprehensive strategy to address a problem or to develop a big-picture, holistic community vision. These projects combined transportation planning with land use to encourage smart growth in the case of CBTP projects, or to stimulate economic revitalization in the case of EJ projects. Some of these projects developed a comprehensive community plan for the city or county that included multiple land use and transportation components, such as mixed-use zoning, transit-oriented development, infill development, revitalization and economic development, historic preservation, and multimodal transportation. Other projects focused on a smaller area, such as developing a downtown area, revitalizing a neighborhood or a particular corridor, or developing a state highway into a main street while continuing to accommodate traffic volume and improve safety and circulation for all modes. These plans often included aesthetic considerations, such as street furniture, street lighting, and historic facades.

Both CBTP and EJ projects engaged communities in the planning process, while EJ projects tended to target more specific populations of disadvantaged communities (e.g. low-income and minority). Projects from both programs advertised workshops through multi-media campaigns, local newspapers and newsletters, mailers, paper notices at community centers, and online notices on websites and Facebook. EJ projects targeted non-English speaking communities with multi-lingual flyers and ads on non-English radio stations. EJ grant recipients partnered with community organizations or social service agencies to reach seniors, the disabled, youth, and low-income populations. CBTP and EJ grant recipients reached out to other stakeholders as well, such as business owners, religious organizations, law enforcement, universities, and bicycle advocacy groups. Some grantees created advisory committees and engaged elected and appointed officials and government staff members.

CBTP and EJ grant recipients sought to include community members in the planning process through multiple means, including walking tours, bicycle tours, transit tours, workshops, open-houses, community meetings, charrettes, multi-day design fairs, focus groups, questionnaire cards, voting boards, door-to-door surveys, telephone hotlines, and online surveys and questionnaires. EJ grant recipients focused on making these activities accessible to target communities by using the appropriate language, and sometimes incorporating cultural music, dance, and activities for children. Grantees used interactive visual exhibits that represented the conceptual planning ideas to help community participants give quality feedback.

8.7 Appendix 7: Inventory of Alternative Funding Sources

We compiled an inventory of alternative funding sources for implementation of EJ and CBTP plans. Here, we describe the major funding sources and provide a list of the funding sources with some pertinent information. We developed a spreadsheet tool with additional information for each funding source and interactive features to enable Caltrans staff and grantees to easily peruse the funding sources according to two criteria: eligible activities and eligible recipients. An electronic version of this tool can be accessed by contacting Ed Philpot at c.edward.philpot@dot.ca.gov (916) 653-8817. The two major sources of competitive state funding for implementation are: 1) the Active Transportation Program (ATP) administered by Caltrans and California Transportation Commission, and 2) the Affordable Housing and Sustainable Communities program (AHSC) administered by the Strategic Growth Council (SGC). Federal funding is mostly distributed through Caltrans or regional MPOs/RTPAs. Local funding sources include impact fees and sales tax revenue.

8.7.1 Federal Funding Sources

EJ and CBTP grantees can apply directly for some federal funds to implement projects. The Transportation Investment Generating Economic Recovery (TIGER) grants provide the largest source; however, the program is very oversubscribed. In 2014, the program budget funded about 6 percent of the total amount requested by 797 applicants.²⁶ Other federal grant opportunities may apply to a specific project, such as the Enhanced Mobility of Seniors and Individuals with Disabilities Program (Federal Transit Administration 5310), the federal highway Congestion Mitigation and Air Quality Improvement program, or the federal Tribal Transit Program.

8.7.2 State Funding Sources

The ATP combines multiple sources of previously disparate state and federal funds into one competitive statewide grant program. ATP encourages active modes of transportation with six goals.²⁷ ATP program funding is divided into 3 components: 1) a statewide competitive program (50 percent), 2) small urban and rural areas with populations less than 200,000 (10 percent), and 3) MPO areas with populations greater than 200,000 (40 percent). The minimum request for project funding from the statewide and rural components of ATP is \$250,000, excluding non-infrastructure projects, safe routes to school, and recreational trail projects. ATP

²⁶ <http://www.dot.gov/tiger>

²⁷ ATP Goals: Increase the proportion of trips accomplished by biking and walking; Increase safety and mobility for non-motorized users; Advance the active transportation efforts of regional agencies to achieve greenhouse gas (GHG) reduction goals; Enhance public health; Ensure that disadvantaged communities fully share in the benefits of the program; and Provide a broad spectrum of projects to benefit many types of active transportation users. <http://www.catc.ca.gov/programs/ATP.htm>

provides all-inclusive funding. Predevelopment activities such as an environmental study are eligible and there is no preference for those applicants that have already completed the environmental study.²⁸

The first ATP statewide and rural cycle in 2014 was very competitive: 19 percent of applicants received funding. The first cycle awarded nearly \$368 million to 265 projects out of \$1 billion in requested funds from 772 applicants for the statewide component and small urban/rural component combined.²⁹ Over 81 percent of awarded funding supported the construction phase of projects, with much of the remainder spread between right of way and engineering.³⁰ In the statewide component, 22 percent of projects included a project approval/environmental document phase. In the small urban/rural component, 50 percent of the projects included a project approval/environmental document phase.

The program requires that at least 25 percent of ATP funding benefit disadvantaged communities. The California Transportation Commission and Caltrans developed the definition of a disadvantaged community for ATP through a work group that included representatives from regional and local transportation agencies, cities, counties, MPOs, and advocacy groups. For the purposes of ATP, a community that meets one of the following 3 criteria is considered disadvantaged:

- The median household income is less than 80% of the statewide median based on the most current census tract level data from the American Community Survey.
- An area identified as among the most disadvantaged 10% in the state according to latest versions of the California Communities Environmental Health Screening Tool (CalEnviroScreen) scores.
- At least 75% of public school students in the project area are eligible to receive free or reduced price meals under the National School Lunch Program.

Applicants using this measure must indicate how the project benefits the school students in the project area or, for projects not directly benefiting school students, explain why this measure is representative of the larger community.

If the applicant believes a project benefits a disadvantaged community, but does not meet one of these criteria, the applicant can write-in a quantitative assessment that explains why the community should be considered disadvantaged. The matching requirement is waived for projects that predominately benefit

²⁸ Interview with Teresa McWilliam and Kevin Atkinson, Caltrans Local Assistance Division, October 14, 2014

²⁹ ATP website <http://www.dot.ca.gov/hq/LocalPrograms/atp/> and "2014 ATP Distribution.pdf" provided by Teresa McWilliam on October 15, 2014 via email correspondence ; http://www.catc.ca.gov/programs/ATP/ADOPTED_2014_ATP_Statewide_and_Rural_082014.pdf

³⁰ http://www.catc.ca.gov/programs/ATP/ADOPTED_2014_ATP_Statewide_and_Rural_082014.pdf

disadvantaged communities (in addition to non-infrastructure projects and safe routes to school).³¹ Of the 148 projects awarded, 88 percent benefited disadvantaged communities according to the program's definition.

The ATP application requires quantitative evidence for most questions, such as improving safety, improving public health, defining a disadvantaged community, and analyzing cost effectiveness. In addition, the application requires evidence of public participation and planning.³²

The Affordable Housing and Sustainable Communities (AHSC) grant program administered by the Strategic Growth Council differs from ATP in a number of ways. AHSC provides funds pre-development, but not environmental review. In fact, the environmental review must be completed in advance of the application for AHSC funding. AHSC dedicates a higher percentage than ATP (50 percent of program funding) to projects that benefit disadvantaged communities. However, the AHSC program utilizes a narrower definition than ATP of disadvantaged communities: projects located within or that provide benefits to communities identified as disadvantaged by the California Environmental Protection Agency's CalEnviroScreen tool. Though AHSC funds a range of activities (capital, operational, education, outreach, and training), unlike ATP, all AHSC projects must include a transit stop. Further, AHSC projects must show a reduction in GHG through fewer vehicle miles traveled, which is an ATP goal but not requirement. The minimum funding amount for AHSC projects is \$500,000, twice that of ATP. Finally, unlike ATP, Native American Tribal Councils are not eligible to apply.³³

8.7.3 Regional Funding Sources

MPOs and RTPAs receive state and federal resources to implement projects in addition to some local resources collected through taxes and bridge tolls. MPOs/RTPAs organized projects funded by these resources into a Transportation Improvement Plan (TIP). Interview and survey results suggest that few EJ or CBTP plans have been implemented with these resources. A few survey respondents funded construction for their projects through the MPO or RTPA, but when asked about MPO/RTPA resources, most planning grant recipients we interviewed did not consider the MPO or RTPA as a funding source for project implementation.³⁴

³¹ http://www.catc.ca.gov/programs/ATP/2014_ATP_Guidelines_adopted_032014.pdf

³² Here we note that EJ and CBTP grantees could collect appropriate evidence of disadvantage community status and public participation during the planning process to be well-positioned for submitting an ATP application.

³³ http://www.sgc.ca.gov/docs/AHSC_FINAL_GUIDELINES.pdf

³⁴ In addition to including projects funded with MPO/RTPA resources, TIPs also include projects funded by external resources. For example, an EJ project that receives a state ATP award for implementation would be included in the TIP. We found that few EJ and CBTP projects are included in the TIP and funded with MPO/RTPA resources.

Most MPOs and RTPAs will use federal funds for environmental and design work for projects in the TIP, especially smaller MPOs/RTPAs.³⁵ A couple of survey respondents indicated that the MPO funded their environmental reviews; however, not all MPOs fund this type of work. For example SCAG does not fund environmental or design work and uses federal funds for construction only. The local governments in SCAG have access to revenue from local sales taxes that can be used for pre-construction phases.³⁶

The selection process for MPO/RTPA-funded TIP projects varies by region. For example, one very large MPO, Southern California Association of Governments (SCAG), administers a competitive application process to select members' projects. A SCAG planning manager described the competition for funds included in the TIP as very intense and indicated that the TIP tends to favor larger, more regional projects over small, localized projects (such as many EJ and CBTP projects).

Going forward, EJ and CBTP-type projects may pursue implementation funding from the regional ATP program. The ATP recently launched a funding stream for competitive grant programs at the regional level. Selection criteria and eligible activities vary by region, but all MPOs with populations greater than 200,000 administer these programs.

The funding landscape at the regional level changes frequently. For example, an MPO may create a separate competitive grant program that lasts only a few years, such as SCAG's Sustainability Grant Program. In this example, the grant program distributed \$10 million over 3 years. Because of this changing landscape, planning grant recipients should include in their scopes of work research on sources for implementation funding.

8.7.4 Local Funding Sources

Local revenue sources are unique to each region or locality. Some grantees funded past projects with private development fees, road impact fees, sales taxes, city general fund revenues, bonds, the city's capital plan, county transportation funds, and redevelopment funding (no longer available). A couple of grantees pursued funding from private foundations to implement capital and operational improvements after unsuccessfully exploring public funding options.

Of all funding sources, ATP is the most likely source of funding for CBTP/EJ type plans. Indeed, many grantees applied to ATP (or, prior to ATP, to the funding streams that now comprise ATP, such as Safe Routes to School). ATP funding is very conducive to CBTP/EJ type projects because pre-construction activities are eligible and disadvantaged communities can receive a waiver for the local match. Therefore, most grantees would do well to prepare plans suitable for a competitive ATP application.

³⁵ Interview with Muhaned Aljabiry, Chief, Office of Federal Transportation Management Program, California Department of Transportation

³⁶ Interview with SCAG Planning Manager December 19, 2014.

Table 5 summarizes the resources identified for funding EJ and CBTP projects and includes some of the information collected about each resource. A spreadsheet with more information and interactive features can be accessed by contacting Ed Philpot at c.edward.philpot@dot.ca.gov (916) 653-8817.

Table 5: Funding Sources for Planning and Implementation

Sponsor	Program or Grant Name	Eligible Activity	Eligible Recipients	Website
Caltrans	Sustainable Transportation Planning	Planning	MPOs, RTPAs, Cities, Counties, Transit Agencies, Tribes	http://www.dot.ca.gov/hq/tpp/grants.html
California Transportation Commission (CTC)	Active Transportation Program	Planning, Educational Programs, Design, Environmental Review, Construction, Operations	MPOs, RTPAs, Cities, Counties, Transit Agencies, Tribes	http://www.catc.ca.gov/programs/ATP.htm
MPOs	Regional Active Transportation Program	Planning, Educational Programs, Design, Environmental Review, Construction, Operations	Cities, Counties, Transit Agencies	MPO websites vary
Strategic Growth Council	Affordable Housing and Sustainable Communities	Educational Program, Construction	MPOs, RTPAs, Cities, Counties, and Transit Agencies	http://sgc.ca.gov/s_ahscprogram.php
MPOs/RTPAs	Congestion Mitigation and Air Quality (CMAQ) funds	Construction	MPOs, RTPAs, Cities, Counties, Tribes	http://www.dot.ca.gov/hq/transprog/federal/cmaq/CMAQ_Web_Page.html
MPOs/RTPAs	Regional Surface Transportation Program	Construction, Operations	MPOs, RTPAs	http://www.dot.ca.gov/hq/transprog/federal/rstp/Official_RSTP_Web_Page.htm
County	Transportation Development Act Funds (LTF and STA)	Planning, Design, Environmental Review, Construction, Operations	Transit Agencies and Cities	http://www.dot.ca.gov/hq/MassTrans/State-TDA.html
Air Quality Management District	AB 2766 Subvention Funds	Educational Program, Operations, Construction	Cities, Counties, Transit Agencies	http://www.arb.ca.gov/html/gloss.htm
Caltrans Office of Regional and Interagency Planning	Rural Planning Assistance (RPA)	Planning	RTPAs	http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index_files/2013_RPH_Final.pdf
CA Office of Traffic Safety	Traffic Safety Grants	Planning, Educational Program	Cities, Counties, Transit Agencies, MPOs, RTPAs	http://www.ots.ca.gov/Grants/Apply/default.asp
CA Department of Parks and Recreation	Habitat Conservation Fund	Educational Program, Construction	Cities and Counties	http://www.parks.ca.gov/?page_id=21361

Sponsor	Program or Grant Name	Eligible Activity	Eligible Recipients	Website
CA Department of Housing and Community Development	Housing-Related Parks Program	Construction	Cities and Counties	http://www.hcd.ca.gov/hpd/hrpp/
USDOT Office of Federal Lands Highway	Tribal Transportation Program	Planning, Design, Environmental Review, Construction, Operations	Tribes	http://flh.fhwa.dot.gov/programs/ttp/
USDOT Federal Transit Administration	Tribal Transit Program	Planning, Construction, Operations	Tribes	http://www.fta.dot.gov/grants/15926_3553.html
CalEMA	Transit Security Programs	Construction, Operations	Transit Agencies	http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Transit-Security-Programs.aspx
USDOT Office of Federal Lands Highway	Urbanized Area Formula Grant Program	Planning, Design, Construction, Operations	Cities, Transit Agencies	http://www.dot.gov/livability/grants-programs and http://www.dot.ca.gov/hq/MassTrans/5307.htm
Caltrans Division of Rail and Mass Transportation	Formula Grants For Other than Urbanized Areas	Construction, Operations	Cities, Counties, Transit Agencies, Tribes	http://www.fta.dot.gov/grants/13093_3555.html and http://www.dot.ca.gov/hq/MassTrans/5311.html
US DOT	Transportation Investment Generating Economic Recovery (TIGER) grants	Planning, Design, Environmental Review, Construction, Operations	Cities, Counties, Transit Agencies, Tribes, MPOs, RTPAs	http://www.dot.gov/tiger
CA Dept. of Housing & Community Development	Community Development Block Grant Program (CDBG)	Construction, Operations	Cities and Counties	http://www.hcd.ca.gov/facdbg/
Caltrans Division of Mass Transportation	Bus and Bus Facilities Small Urban Formula	Construction, Operations	Transit Agencies	http://www.dot.ca.gov/hq/MassTrans/5339.html
Caltrans Division of Local Assistance	California Access Program	Planning, Design, Construction, Operations	Cities, Counties, Tribes	http://www.cflhd.gov/programs/flap/ca/index.cfm
USDOT Federal Lands Highway	Federal Lands Planning Program	Planning	Tribes	http://flh.fhwa.dot.gov/programs/flpp/

Sponsor	Program or Grant Name	Eligible Activity	Eligible Recipients	Website
Caltrans Division of Mass Transportation	Enhanced Mobility of Seniors and Individuals with Disabilities Program	Construction, Operations	Cities, Counties, Transit Agencies	http://www.dot.ca.gov/hq/MassTrans/5310.html
EPA	Environmental Justice Small Grants Program	Planning	Tribes	http://www.epa.gov/compliance/environmentaljustice/grants/ej-smgrants.html
MTC	Lifeline Transportation Program	Operations, Construction	Cities, Counties, Transit Agencies	http://www.mtc.ca.gov/planning/lifeline/
MTC	Community-Based Transportation Planning	Planning	Cities and Counties	http://www.mtc.ca.gov/planning/cbtp/
MTC	One Bay Area Grant Program	Planning, Design, Environmental Review, Construction, Operations	MPOs, Cities, and Counties	http://www.mtc.ca.gov/funding/onebayarea/
Bay Area County Congestion Management Agencies	One Bay Area Grant Program	Planning, Environmental Review, Construction, Operations	Cities and Counties	http://www.mtc.ca.gov/funding/onebayarea/
SANDAG	<i>TransNet</i> Smart Growth Incentive Program	Planning and Construction	Cities and Counties	http://www.sandag.org/index.asp?projectid=340&fusection=projects.detail
SACOG	Community Design Funds	Design, Environmental Review, and Construction	Cities, Counties, Transit Agencies,	http://www.sacog.org/regionalfunding/communitydesign.cfm
Tahoe Metropolitan Planning Organization	On Our Way	Planning	Cities and Counties	http://www.tahoempo.org/OnOurWay.aspx

8.8 Appendix 8: Funding Matrix: A Guide for Grantees

VENTURA/KINGS CANYON COMPLETE STREETS PLAN
FRESNO COUNCIL OF GOVERNMENTS

IMPLEMENTATION

TABLE 6-1 IMPLEMENTATION PHASING, RESPONSIBLE PARTIES AND FUNDING SOURCES

Improvements	Description	Responsible Agency	Potential Funding Sources ¹
<i>Short Term</i>			
Plan Coordination	<ul style="list-style-type: none"> Begin implementing the General Plan's goals and policies for the Ventura/Kings Canyon area and incorporate the vision and goals of the Ventura/Kings Canyon Complete Streets Plan Coordinate and possibly include with the Downtown Neighborhood Community Plan. Coordinate with the City of Fresno Bicycle, Pedestrian & Trails Master Plan Update (2010) so plans are consistent. Coordinate with the City of Fresno Parks Master Plan to address lack of open space and desire for parklets. 	City of Fresno: Planning, Public Works, FAX; Community Organizations	General Fund
Develop a Community Facilities District	<ul style="list-style-type: none"> Work with partners to build support from property owners Establish the District Area Initiate vote 	City of Fresno: Planning; Community Organizations	General Fund
Develop detailed design and engineering for proposed streetscape projects	<ul style="list-style-type: none"> Apply for grants to fund design and engineering of improvements. Coordinate with planning, engineering, and public works departments as necessary. Develop further design, engineering, and cost estimates as necessary. Secure environmental review and permitting as necessary. Incorporate Plan recommendations into the Downtown Neighborhoods Community Plan, Bicycle Master Plan, and Parks Master Plan. 	Developers, Fresno COG City of Fresno: Planning, Public Works, FAX	Community Facilities District, General Fund, TDA, OTS
Development Standards for private development along the corridor	Require private development to create a pedestrian-friendly environment through building design and landscaping on private property	City of Fresno	Community Facilities District, General Fund
Streetscape Improvements at BRT stops	When BRT stops are constructed, the following improvements are planned:	Fresno COG City of Fresno: Planning,	TDA, ATP, OTS, SJVAPCD-REMOVE II, AHSC, EEMP, CMAQ, Impact Fees

¹ Funding sources and their acronyms are described in subsequent pages.

IMPLEMENTATION

TABLE 6-1 IMPLEMENTATION PHASING, RESPONSIBLE PARTIES AND FUNDING SOURCES

Improvements	Description	Responsible Agency	Potential Funding Sources ¹
	<ul style="list-style-type: none"> Shelters with integrated lighting, bike racks, and trash receptacles Restripe and/or add bike sharrows where bike lanes are within bus stop 	Public Works, FAX; Tree Fresno	
Develop a Safe Routes to School Plan	<p>Work with the Fresno Unified School District to develop a Safe Routes to School Plan for local schools within a 1/2 mile radius of the corridor, including:</p> <ul style="list-style-type: none"> Roosevelt High School Sunnyside High School Jackson Elementary School Winchell Elementary School Lane Elementary School Greenberg Elementary School 	Fresno Unified School District Fresno COG City of Fresno: Planning, Public Works, FAX	ATP, Sustainable Transportation Planning Grant
Determine if Winery Avenue at Kings Canyon Road can become a priority intersection for left-turn lanes	<ul style="list-style-type: none"> Assess whether the intersection should be added to the City's left-turn signal priority list. If so, determine feasibility of addressing delays in the northbound and southbound approaches on Winery Avenue by adding left-turn pockets. 	City of Fresno: Planning, Public Works, FAX	
Streetscape Improvements to the blocks adjacent to BRT stops:			
<ul style="list-style-type: none"> Between First St. and Second St. Between Fifth St. and Seventh St. Between Dearing Ave. and Garden Ave. Between Winery Ave. and Willow Ave. Around Peach Ave./Kings Canyon Road Intersection 	<ul style="list-style-type: none"> Install bulbouts Improve street lighting Add seating, street trees, bike racks, landscaping, and trash receptacles Restripe and/or improve bike lanes Add pedestrian refuges where feasible Add high visibility crosswalks where feasible 	Fresno COG City of Fresno: Planning, Public Works, FAX; Tree Fresno	Community Facilities District, TDA, ATP, OTS, SJVAPCD-REMOVE II, AHSC, CMAQ, Impact Fees

IMPLEMENTATION

TABLE 6-1 IMPLEMENTATION PHASING, RESPONSIBLE PARTIES AND FUNDING SOURCES

Improvements	Description	Responsible Agency	Potential Funding Sources ¹
Complete the sidewalk network	Sidewalks are required with new development. If development is not eminent, prioritize filling the sidewalk gaps between Willow Ave. and Peach Ave. in the short term.	Developers, Fresno COG City of Fresno: Planning, Public Works, FAX	Private Development, Community Facilities District, TDA, ATP, AHSC, Impact Fees
Improve bike lanes along the entire corridor	<ul style="list-style-type: none"> Add high visibility skip-striping, sharrowes at all high-conflict areas Add buffered bike lane between Willow Ave. and Peach Ave. 	Fresno COG City of Fresno: Planning, Public Works, FAX	Community Facilities District, TDA, ATP, OTS, SJVAPCD-REMOVE II, AHSC, CMAQ, Impact Fees
Medium Term			
Streetscape improvements along Ventura Avenue	<p>Proposed improvements include:</p> <ul style="list-style-type: none"> Install bulbouts Improve street lighting Add seating, street trees, bike racks, landscaping, and trash receptacles Restripe and/or improve bike lanes Add pedestrian refuges where feasible Add high visibility crosswalks where feasible 	Fresno COG City of Fresno: Planning, Public Works, FAX	Community Facilities District, TDA, ATP, OTS, SJVAPCD-REMOVE II, AHSC, EEMP, CMAQ, Impact Fees
New parklets near restaurants	<ul style="list-style-type: none"> Work with restaurants to identify potential locations for parklets, Design and install parklets 	City of Fresno Merchants Association Business Owners	Community Facilities District, General Fund
Long Term			
Streetscape improvements along Kings Canyon Road	<p>Proposed improvements include:</p> <ul style="list-style-type: none"> Install bulbouts Improve street lighting Add seating, street trees, bike racks, landscaping, and trash receptacles Restripe and/or improve bike lanes Add pedestrian refuges where feasible Add high visibility crosswalks where feasible 	Fresno COG City of Fresno: Planning, Public Works, FAX	Community Facilities District, TDA, ATP, OTS, AHSC, EEMP, CMAQ, Impact Fees

IMPLEMENTATION

TABLE 6-1 IMPLEMENTATION PHASING, RESPONSIBLE PARTIES AND FUNDING SOURCES

Improvements	Description	Responsible Agency	Potential Funding Sources ¹
<i>On-Going</i>			
Improvements related to private development	<ul style="list-style-type: none"> ▪ Parking lot reconfiguration and beautification ▪ Shared parking lots ▪ Ground-floor retail ▪ Wider sidewalks with landscaping & street furniture ▪ Mini-parks with playgrounds where significant residential development is proposed ▪ Additional shade-providing trees on private property facing Ventura/Kings Canyon 	Developers, Property Owners, City of Fresno Tree Fresno	Private Development, Impact Fees, AHSC
Programming	<ul style="list-style-type: none"> ▪ Design and install themed and seasonal banners throughout the corridor using existing/new poles, and other new wayfinding signage ▪ Develop “branding” for the Ventura/Kings Canyon retail nodes ▪ Reuse vacant lots for community gardens, food trucks, or farmers markets ▪ Hold seasonal community events and festivals 	City of Fresno Community Organizations, including SEFCEDA, VKCMA	Urban and Community Forestry Grants, National Gardening Association Youth Garden Grant
Maintenance	<ul style="list-style-type: none"> ▪ Tree pruning and on-going maintenance of palm trees and other street trees along corridor ▪ Street cleaning ▪ Lighting and sidewalk maintenance ▪ Code enforcement 	City of Fresno: Public Works, Code Enforcement	Community Facilities District, General Fund

Table 6-2 provides rough cost estimates for the recommended pedestrian and bicycle improvements. A conceptual cost estimate for all of streetscape improvements is in the range of \$6.5M to \$10.5M. This table does not include costs for private development improvements or the BRT improvements. It includes everything proposed in Chapter 4, Conceptual Plan. Decisions should be made about which improvements to prioritize. More work will be needed to fine-tune the conceptual recommendations to determine exact cost estimates.

IMPLEMENTATION

TABLE 6-2 COST ESTIMATES

Description	Quantity	Unit	Low Unit Cost*	High Unit Cost*	Low Range	High Range	Notes & Assumptions
Pedestrian Infrastructure							
High Visibility Crosswalks	33,400	SF	\$8	\$15	\$267,200	\$501,000	Assumes basic stamped concrete crosswalks at all existing and proposed locations within the Plan Area.
Crosswalk: Lighted Flashing	10	EA	\$20,000	\$50,000	\$200,000	\$500,000	Lights adhered to pavement in crosswalk. Assumes only crosswalks on Ventura Avenue between First and Cedar.
Crosswalk: Countdowns	7	EA	\$300	\$800	\$2,100	\$5,600	Assumes only at proposed crosswalks on Ventura/Kings Canyon.
Crosswalk: Pedestrian Push Buttons	7	EA	\$400	\$1,000	\$2,800	\$7,000	Assumes only at proposed crosswalks on Ventura/Kings Canyon.
Sidewalk Bulbout	76	EA	\$15,000.00	\$25,000.00	\$1,140,000	\$1,900,000	Based on lump sum cost for 6-foot-wide bulbout extension, and 20-foot length. Includes demo, curb (LF), concrete (SF), and ADA ramp at intersections. Bulbouts are assumed at each existing and proposed crosswalk along Ventura Avenue and Kings Canyon Road and at crosswalks on wide side streets with high traffic (First Street, Cedar Avenue, Chestnut Avenue, Willow Avenue, Winery Avenue, and Peach Avenue).
ADA Ramps	80	EA	\$1,500	\$1,500	\$120,000	\$120,000	Includes demolition and repaving asphalt costs at crosswalks where no bulb-out is constructed.
Pedestrian Refuge Island	35	EA	\$8,000	\$15,000	\$280,000	\$525,000	Assumes curb and median approximately 6 feet wide at all locations where crosswalks intersect medians.
Bicycle Infrastructure							
Bike Striping	31,100	LF	\$2	\$4	\$62,200	\$124,400	Assumes two white stripes either asphalt paint or thermoplastic.
Bike Symbols	125	EA	\$160	\$230	\$20,000	\$28,100	One at least every 250 feet.
Skip Striping	600	LF	\$14	\$17	\$8,400	\$10,200	Assumes green paint with white stripes on either side, each 4-foot-long and spaced every 6 feet through intersections.
Bike Buffer Painting	31,100	LF	\$6	\$12	\$186,600	\$372,800	Assumes 3-foot buffer; white stripes with diagonal stripes in between.
Pedestrian Amenities							
Trees	1,000	EA	\$250	\$400	\$250,000	\$400,000	Assumes 24-inch box; includes irrigation, trenching and water barrier.

IMPLEMENTATION

TABLE 6-2 COST ESTIMATES

Description	Quantity	Unit	Low Unit Cost*	High Unit Cost*	Low Range	High Range	Notes & Assumptions
Tree Grates	960	EA	\$680	\$750	\$652,800	\$720,000	4 feet x 4 feet, includes frame
Tree Guards	960	EA	\$325	\$670	\$312,000	\$643,200	Powder Coated
Tree Well	900	EA	\$500	\$500	\$450,000	\$450,000	Includes saw cut of 5-foot x 5-foot hole, 2.5 cy amended soil, and concrete demo and hauling.
Landscape Median	12,000	SF	\$12	\$15	\$144,000	\$180,000	Assumes landscaping on the existing medians that have a minimum width of 6 feet; trees separately, no subdrain.
Sidewalk Planting	12,000	SF	\$11	\$14	\$132,000	\$168,000	Assumes at bulbouts and adjacent to sidewalk in some locations.
60 Day Maintenance	6	LS	\$4,000	\$8,000	\$24,000	\$48,000	Estimate based on square footage of landscape area and tree maintenance of costs for ½-mile of road.
Standard Street Light (Cobra Head)	132	EA	\$8,000	\$10,000	\$1,056,000	\$1,320,000	Assumes new street lights (with banner brackets) spaced every 60 feet and 75% of corridor is already lighted.
Pedestrian Lights (Attached to Cobra Head)	483	EA	\$1,500	\$2,500	\$724,500	\$1,207,500	Assumes attaching pedestrian lights to cobra head poles where sidewalk is adjacent to the street (11/12 of corridor).
Pedestrian Lights (Standalone)	66	EA	\$3,000	\$5,000	\$198,000	\$330,000	Assumes new pedestrian light standards every 40 feet where sidewalk separated from street (1/12 of corridor).
Street Pole Banners	528	EA	\$400	\$600	\$211,200	\$316,800	Assumes standard street light pole already includes brackets, spaced every 60 feet on both sides of the street.
Bench	50	EA	\$1,500	\$3,000	\$75,000	\$150,000	1 every 500 feet (both sides of the street), excluding blocks with BRT stations, which will include benches separately.
Bike Racks	50	EA	\$600	\$1,200	\$30,000	\$60,000	1 every 500 feet (both sides of the street), excluding blocks with BRT stations, which will include bike racks separately.
Trash Cans	50	EA	\$800	\$1,500	\$40,000	\$75,000	1 every 500 feet (both sides of the street), excluding blocks with BRT stations, which will include trash cans separately.
Water Fountain	6	EA	\$15,000	\$50,000	\$90,000	\$300,000	Assumes water source is already available at site.
TOTAL					\$6.5M	\$10.5M	

Note: SF = square foot; EA = each; LF = linear foot, cy = cubic yard

* Costs are rough estimates and should be confirmed for accuracy. All items listed include installation costs.

9 References and Data Sources

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